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This report, the tenth and last of a series, is presented by the Steering Committee, the Study of Education at Stanford. The series, based on the concept that education should be a continuous process of discovery throughout life, sets forth recommendations for strengthening the academic enterprise at Stanford University. In this report, the Committee on Government of the University's recommendations focus on those aspects of university governance for which certain specific changes might afford some promise of marked administrative improvement. The recommendations cover the responsibilities of the Board of Trustees, the roles of the president and other principal administrative officers, school and departmental administrators, university-wide faculty committees, and student participation in faculty committees. Also proposed are certain responsibilities for officers who oversee the academic aspects of undergraduate life at Stanford and a Dean of Graduate Studies who would be responsible for the management of graduate education. The Steering Committee, which endorses the report of the Committee on Government of the University, suggests minor changes in 3 of the 44 recommendations. Copies of this report may be requested in writing from: Study of Education at Stanford, Room 107, Building 10A, Stanford University, Stanford, California 94305. [Not available in hard copy due to marginal legibility of original document]. (WM)

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The Study of Education
at Stanford

Report to the
University

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Preface

This is one of a series of reports, which we submit to the University community for its consideration. The first of our reports, *The Study and Its Purposes*, stated the general premises on which our recommendations turn. The remainder of this series, in the approximate order of issuance, includes the following:

II. *Undergraduate Education*
III. *University Residences and Campus Life*
IV. *Undergraduate Admissions and Financial Aid*
V. *Advising and Counseling*
VI. *The Extra-Curriculum*
VII. *Graduate Education*
VIII. *Teaching, Research, and the Faculty*
IX. *Study Abroad*
X. *Government of the University*

Comments on these reports, and requests for copies, should be addressed in writing to Study of Education at Stanford, Room 107, Building 10A, Stanford University, Stanford, California 94305.

February 1969

Steering Committee
The Study of Education at Stanford

Steering Committee
The Study of Education at Stanford

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Government of the University

Report of the Steering Committee

In carrying out its assigned task of studying *education* at Stanford, our committee found it necessary to raise questions in a number of areas outside the academic realm. One such area, which we considered essential to the problem of educational reform, is the process by which the University is governed. The relation of students and faculty to Stanford's governing processes can strongly affect their attitudes toward learning and teaching. Furthermore, the processes of academic self-renewal, toward which the SES is but a start, are dependent upon facilitative structures. For these reasons among many, we elected to give careful attention to the problems of university governance and appointed a topic committee to study and make recommendations on governing processes at all levels.

We fully endorse the report of the topic committee, subject only to the changes and comments that follow. We especially wish to record that the Steering Committee strongly and unanimously endorses the view of the majority of the topic committee that the proposed Dean of Undergraduate Studies report directly to the President and the Provost instead of to the Dean of Humanities and Sciences. We have reached this conclusion as a result of our analysis of the problems, needs, and recommendations discussed in several of the other Study reports. Effective implementation of recommendations on undergraduate academic programs, advising, counseling, admissions, and financial aid, and above all the sustaining of a spirit of innovation and renewal, will certainly profit from and be strongly dependent on the support of a senior officer with direct access to the President and the Provost.

We differ with the topic committee on only one specific matter. The committee's Recommendation 21 would ordinarily limit heads of departments to a maximum of two three-year terms. We believe that the terms should be five years. This change is incorporated in the summary list of recommendations that follows. Two members of our committee disagree with any limitation on the number of terms that can be served by deans and heads of departments; one of them would also prefer no restriction on trustees' terms.

Recommendation 23 calls upon departments to involve all of their members who are also members of the Academic Council in reaching important decisions. One of our members strongly believes that only tenured members of departments should participate in formal votes on appointments or promotions.

Recommendation 44 calls for further study of relationships between the University and affiliated institutes. The only example mentioned is the Hoover Institution. We do not see the need for such scrutiny except in the case of Hoover, where we fully concur with the topic committee's recognition of this need.

We would like to express our thanks and commendation to the Committee on Government of the University whose membership over the period of its work included:

Herbert L. Packer, *Chairman*, Professor of Law and Vice Provost
Kenneth J. Arrow, Professor of Economics (until July 1968)
Raymond F. Bacchetti, Assistant Provost
Norton T. Batkin III, Undergraduate student in Philosophy
J. Philip Dawson, Assistant Professor of History
Edwin M. Good, Associate Professor of Religion and Hebrew (from July 1968)
Kirk O. Hanson, Undergraduate student in Political Science (from January to July 1968)
Denis A. Hayes, Undergraduate student in History and ASSU President (from June 1968)
Hubert Heffner, Professor of Electrical Engineering (from July 1968)
Robert R. Hind, Staff Director, Study of Education at Stanford
G. Peter Lyman, Graduate student in Political Science and ASSU President (until October 1967)
Robert M. Rosenzweig, Associate Provost
Halsey L. Royden, Professor of Mathematics and Acting Dean of Humanities and Sciences

Summary of Recommendations

1. The primary responsibility of the Board of Trustees should be to ensure the long-run welfare of the University and to support the University in its relationships with other social institutions and with its external constituencies. To free itself for more effective performance of this essential role, the Board should, in concert with other members of the University, reexamine its own policies and procedures in order to make substantial explicit delegations of operating responsibility.

2. All meetings of the Board should take place on the campus.

3. Meetings of the Board should be reduced in frequency and increased in duration so as to afford trustees a deeper familiarity with the University.

4. The Board of Trustees should seek to increase the diversity of its membership with respect to such factors as age, occupation, cultural and racial background, and place of residence. This effort should give a high priority to adding members who are actively engaged in teaching and scholarship at other universities and colleges.

5. The Nominating Committee of the Board should be enlarged to include members of the Stanford faculty, student body, and alumni.

6. Trustees should be elected to five-year terms renewable not more than twice.

7. Membership on Board committees should include Stanford faculty members and students as well as trustees.

8. One or more Stanford faculty members with relevant expertise should serve as members of the Board's Committee on Investments.

9. The President and possibly the Provost should be *ex officio* members of the Board.

10. The Board, in concert with other members of the University, should study and consider: enlarging the Board to perhaps double its present size;* direct election of one or more trustees by each of the following groups—the faculty, the student body, the alumni; creating an Executive Committee to maintain continuity between meetings.

11. The principal role of the President should be to exercise educational leadership. He should be free to devote himself primarily to that role in the following ways, among others: a) drawing from the enterprise as a whole realistic goals for maintaining and improving the quality of the University; b) planning how to achieve those goals; c) representing and communicating about the University to its members and its external constituencies. In order to enable the President better to perform these paramount functions, the administration should be so designed that routine day-to-day decision making devolves upon other officers of administration, freeing the President for the making of major decisions.

12. The Provost should function as the President's chief deputy, with such division of functions as may suit their respective talents and interests. Together, they should perform the functions referred to in Recommendation 11, making such explicit delegations of day-to-day responsibility as are necessary to free them for their primary task. Given the close relationship envisioned, the Provost should serve at the President's pleasure.

13. The President and the Provost should be assisted by a staff adequate to enable them effectively to discharge the functions described above. This staff should include but not be limited to those officers of administration referred to below who have day-to-day decision-making responsibility for various sectors of the University.

14. Part-time service by faculty members on the presidential staff should be strongly encouraged.

15. The Physical Facilities Planning Office and the proposed Academic Planning Office should be directly responsible to the President and the Provost and their directors should be members of the presidential staff.

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*Mr. Good demurs on the recommendation that the Board be enlarged.

16. Day-to-day central decision-making responsibility should be assigned to a group of officers called vice-presidents or vice-provosts in areas such as the following (the areas proposed are merely illustrative):

a. ***Academic Affairs*****: the instructional budget; faculty appointments and promotions; curricular programs; admissions and financial aids; overseas campuses; student affairs and services.**

b. ***Research Facilities and Programs*****: sponsored research; intra-university information systems; libraries; computer facilities; research institutes.**

c. ***Business and Finance*****: fund raising; fiscal management; business affairs; real estate management.**

d. ***Medical Affairs*****: the medical school and the hospital.**

(N.B.: This scheme would divide the Provost's present responsibilities between a. and b., would combine the responsibilities of the Vice-Presidents for Business and Finance, and would leave Medical Affairs as presently allocated.)

17. To avoid undue bureaucratization and uniformity for its own sake, the deans of schools should have the maximum degree of autonomy consistent with orderly procedures and should continue to enjoy direct access to the President and the Provost as at present.

18. In order to enhance the University's capacity to deal with the increasing complexity of its existence by attracting and retaining a talented group of non-faculty administrators, there should be established on a trial basis a Career Administrative Group. Members of this group should be rotated regularly among administrative functions and should be assured permanent positions at the University once their qualifications have been determined.

19. The following general principles should govern the selection and tenure of faculty members serving as deans of schools, department heads, and other officers of academic administration:

a. They should be selected on the basis of a formal search or of informal consultation.

b. They should serve for a definite term of years.

c. They should be afforded an appropriate period of leave upon resuming regular faculty status.

20. Deans of schools and other University-wide officers of academic administration should ordinarily serve a term of five years, renewable once.

21. Heads of departments should ordinarily serve a term of five years, renewable once.*

22. At such time as Recommendations 20 and 21 are put into effect, all incumbents of affected positions should be deemed to have completed a first term in office, or their actual period of service, whichever is shorter.

23. Each school or department should ensure that each of its members who is a member of the Academic Council participates in decision making on matters of substantive concern. Each such member should be informed of all proposed appointments and promotions that entail Academic Council membership. Each such member at or above the rank to be filled through appointment or promotion should have a formal vote. The Advisory Board and the deans of schools should have the responsibility of ensuring that the conduct of departmental business adheres to these standards.

24. Each department should be authorized and, as possible, budgeted to employ an administrative assistant to handle routine departmental business.

25. The primary mechanism for faculty decision making on University-wide issues should be the Academic Senate acting either in its own right or through committees answerable to it.

26. Consecutive membership on a standing committee should be limited to two three-year terms. A person should be eligible for further appointment only after an absence from the committee of three years.

27. No person should serve as chairman of a faculty committee for more than three years.

28. An administrative officer whose area of operations falls within a committee's purview should participate in its deliberations without vote. He should be ineligible to serve as chairman.

29. Agenda and minutes of standing committees should be circulated to all relevant officers of administration, who should be entitled to attend and participate in any meeting in which they have an interest.

30. Standing committees should be provided with staff support. Chairmen of standing committees should receive relief from other duties commensurate with the obligations of their office.

*The Topic Committee's recommendation (p. 31) was for three-year terms.

31. Committees should be small enough to function effectively and to give each member a sense of responsibility for the committee's work. Only in exceptional circumstances should a committee number more than nine (inclusive of non-faculty members). Standing committees should be encouraged to form subcommittees some of whose members do not serve on the parent committee.

32. No faculty member should serve on more than one standing committee. In order to enforce that rule and to reduce scheduling problems, a special time should be set aside weekly for meetings of standing committees. This two-hour period should be kept free of scheduled classes and major campus events.

33. An appropriate number of students, as determined by the Senate, should be members of the Senate without vote. These students should include the President and Vice-President of ASSU *ex officio*. Additional student members should be elected in the spring general election of ASSU.

34. It should be presumed, in the absence of good cause shown to the contrary, that students have a contribution to make to the work of each University-wide, school, and departmental committee and therefore should be eligible for membership on each such committee. This eligibility should not extend to committees dealing with the appointment and promotion of faculty members. Students' judgment about the educational effectiveness of faculty members is valuable and should be used in reaching decisions on appointment and promotion.

35. The appropriate number of students on such committees should be determined in the case of committees of the Academic Council by the Senate's Committee on Committees and in the case of school and departmental committees by the faculties of the schools and departments.

36. The ASSU should provide definite mechanisms for selecting student members of University committees in such a way that the opportunity to be considered for service is open to all and that adequate representation of various viewpoints is assured. As long as such mechanisms function, the selection of student members for committees of the Academic Council should be the exclusive responsibility of the ASSU. Similar principles should govern the selection of student members for school and department committees.

37. The University should officially recognize the need for enhanced and better focused faculty and administrative attention to the problems of undergraduate education.

38. The Academic Council Committees on Undergraduate Education and General Studies should be replaced by a single Committee on Undergraduate

Studies charged with general responsibility for undergraduate academic matters. A majority of the faculty members on this committee should be from the School of Humanities and Sciences. Representation should also be given to faculty members from the School of Engineering and the graduate professional schools who are interested in undergraduate education.

39. A new administrative position, Dean of Undergraduate Studies, should be established to exercise continuing review of Stanford's education of undergraduates, to support and maintain what is good, to aid in the renovation of what is inadequate, and to stimulate and assist educational innovation.

40. The Dean of Students should continue to exercise administrative supervision of extra-curricular aspects of student life, including residences and student services. He should maintain close contact with the Dean of Undergraduate Studies. The Director of Admissions should report to the Dean of Undergraduate Studies. The post of Director of General Studies should be abolished.

41. The planning and administration of graduate programs is primarily a matter for the schools and departments. It is in relation to graduate education that the principle of federalism in the University's government should be given its widest scope. However, there are matters of University-wide concern that require administrative management and faculty oversight. These include enrollment, financial aid, employment of teaching and research assistants, and the creation and abolition of degree programs.

42. Administrative management of the functions referred to above should be in the hands of a Dean of Graduate Studies. Faculty oversight should be exercised by a Committee on Graduate Studies.

43. The Dean should consider appointing an Associate Dean for Student Affairs.

44. The President should proceed systematically to constitute *ad hoc* committees to review the relationship between the University and those affiliated entities that are not departments of instruction, giving a high priority in that effort to the relationship between the University and the Hoover Institution.

Government of the University

Report
of the
topic committee

Introduction

Our committee was charged by the Steering Committee of the Study of Education at Stanford with considering "what institutional arrangements will best advance the conduct of the University's affairs, showing due regard for the appropriate role of each of its constituent elements." That would have been a formidable task at any time. The difficulties have been multiplied in a period when universities and colleges throughout the country have been experiencing the symptoms of a "governance crisis." It is hard enough to decide "what institutional arrangements will best advance the conduct of the University's affairs" when there is general agreement about "the appropriate role of each of its constituent elements." When there is not, as there is not today, every issue, however trivial-seeming it may be, forces one all the way back to basic premises. Our agreements, coming as they do from a committee composed of senior and junior faculty members, students, and administrators, are modest but hard won.

The Committee was organized on June 13, 1967, and held regular meetings through the ensuing eighteen months. During that period we also held innumerable informal consultations, and, on separate occasions, met as a committee with Trustee President W. Parmer Fuller, III, and three of his fellow trustees, former President Wallace Sterling, Provost Richard Lyman, and Dean of Students Joel Smith. We also cooperated with the AAUP Committee on the Governance of the University, providing them with basic data and access to our files; we have not commented on that committee's report, but publish it here as Appendix 1 since we consider it an important document for those interested in the University's organization.

It would be misleading to suggest that the proposals developed in our deliberations and advanced here are based upon explicit consensus about the "nature" of the university and the "appropriate roles" of its constituent elements. Still, a few generalizations, amounting to little more than truisms, may be ventured. First, universities differ markedly from other social institutions–from business corporations, from labor unions, from political entities–even though in some of their aspects they do resemble other such institutions. Arguments about institutional arrangements based upon analogy must therefore be treated cautiously. The board of trustees is not like a corporate board of directors. The president is not like the chief executive of a business enterprise. The faculty are not like the members of a labor union. The students are not like the electorate of a political community. *Uniqueness* must be paid genuine deference, not mere lip service, in discussions about university governance.

Second, the university's work is unusually diffuse. The university is a successful institution in precisely the degree that its individual members–teachers and students–realize their fullest potentialities for intellectual inquiry. Assuring the optimal environment for that pursuit is the paramount task for institutional arrangements and the only measure of their fitness. It by no means follows that "that government is best which governs least." It may and does take an intricately devised set of arrangements to promote the simple-sounding goal suggested above. In particular, it calls for a sensitive adjustment between the demands of uniformity and differentiation. *Federalism* is perhaps the most important, as it surely is the most neglected, idea available to the student of university governance.

Third, the university comes nearer to being a "total institution," especially for its students, than does any other voluntary social organization. The sociologist Erving Goffman has defined the total institution as "a place of residence and work where a large number of like-situated individuals, cut off from the wider society for an appreciable period of time, together lead an enclosed, formally administered round of life." Goffman's examples include prisons, hospitals, and asylums; but he is careful to point out that a wider range of institutions share some of the same characteristics. An institution that occupies as large a segment of people's lives as does the university and that is at the same time "voluntary" must seem stifling and overbearing unless it provides opportunities for those who live and work within it to exert influence on the decision-making process, to the extent that they perceive decisions as meaningful to them. That is what the most obvious aspect of the "governance crisis" on American campuses is all about. The problem is how to secure a reasonable measure of *participation* without allowing governance to become a goal of life in the university rather than a means.

Finally, there is a corollary (some would say an antithetical) aspect to the university. It is a terribly complex place in which a large number of decisions have to be made rapidly. These are either proximately or ultimately decisions about spending money. The wise and effective making of these decisions must be illuminated by the participation of those whose interests will be affected, but it ought not to be impeded by that participation. In short, the university's affairs require a high order of *management*, a term that often causes academic people to bridle but that is necessary to the survival of their environment. The advent of greater faculty and student involvement in the affairs of the institution requires a very nice set of adjustments among informal consultation, formal legislation, and post-audits. The temptation will be to exaggerate the role of formal legislation at the expense of accountability through consultation and post-audits. This temptation should be resisted.[1]

We have focused on those aspects of the government of the University as to which reasonably specific changes seem to afford some promise of marked improvement. What follows, then, is anything but a rounded picture of how Stanford's affairs should be conducted. Inevitably, a focus on needed change underemphasizes satisfaction with the *status quo*. There is much to be grateful for in the performance as members of the University of the students, the faculty, the administration, and the trustees. Stanford is far from being poorly equipped to withstand the shocks that will inevitably attend this time of change. All of our proposals are informed by a purpose to enable us more easily to do so.

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[1] Mr. Hayes comments: "There is also a precisely contrary temptation which must be resisted.

"In an institution where lines of jurisdiction are often unclear, there is a tendency to view any given decision as the result of a natural interplay of well-reasoned arguments. This is, perhaps, a defined ideal, but it would be the height of naivety to suppose it common today.

"Issues are too often decided in terms of vested interests and the parochial values of entrenched powers, the very rocks that I expect much of S.E.S. to find itself beached upon. The most conservative elements within the university are solidly entrenched in positions which require continuous innovation. As a result of ill-defined, anachronistic, and largely inappropriate 'legislative' processes, the university is frequently a victim of inertia: some programs never get started, and others never get terminated.

"I see the creation of new, joint student-faculty 'legislative' mechanisms—on both the departmental and the university level—as desirable and inevitable. I regret that this view was not shared by the majority of members on the committee."

Board of Trustees

Few topics relating to the government of universities have stirred so much controversy and been victim of such misunderstanding as the role of governing boards. Popular authors from Sinclair Lewis and Thorstein Veblen to Paul Goodman have had their innings, and their vituperations are usually unanswered. Too rarely are we made aware that thousands of board members devote millions of hours each year, without any compensation, to serving the interests of higher education.

The involvement of governing boards in the internal affairs of universities is declining. Jencks and Riesman,[2] among many observers, have noted this decline and attribute it largely to the increased size and complexity of these institutions.

This occurrence has both positive and negative consequences. The negatives we discuss below. The positive aspects lie in the reduction of close involvement in matters about which boards are not well informed and with which they do not have to deal day by day. To be sure, board members often seem to become engaged in the relatively trivial but externally visible topics that attract the attention of the press and the public. But such engagement is perfectly natural and probably inevitable if boards are to carry out the important function of serving as bridge and buffer between universities and society.

The Stanford Board of Trustees represents one of the University's great strengths, consisting as it does of an able and devoted group of people with an uncompromising commitment to the welfare of the institution. No one who has participated in or witnessed the Board's deliberations can have anything but admiration for the existence and strength of that commitment.[3] Like all elements of the University, the Board must take care that its structure and operation optimize the performance of its appropriate role. We note with satisfaction that the Board has recently scrutinized its own procedures and instituted changes, some of which are specifically mentioned below, designed to enhance its effectiveness. We urge that this process of self-scrutiny continue and that the Board enlist the cooperation of other members of the University in carrying it forward.

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[2] Christopher Jencks and David Riesman, *The Academic Revolution*, 1968, pp. 5–16.

[3] Mr. Hayes comments: "As one who has occasionally participated in the Board's deliberations, I'm afraid I must dissent.

"While Stanford has several trustees who fall within the report's description, we also have some trustees who are pompous, bumptious, silly, or rather dull elderly people—the sort of intellectual light-weights which one must expect in any system of 'government by crony'.

"At times I have found myself ruminating at Board meetings that the only value in the whole affair was that it was removing 23 man-days from the military-industrial complex.

"I don't think it can be doubted that every member of the Board is genuinely concerned for the 'welfare of the institution'. But there are some distinct differences between many trustees and many other members of the community over what really constitutes institutional welfare. Drawn as they are from a special social class and a special set of economic conditions, the members of the Board tend to hold common sets of values which have very little overlap with the values held by most members of the faculty and student body.

"This results in a governing board which is at times unresponsive to the feelings of the governed because it is simply incapable of empathy. It is clearly not a case of government by consent of the governed."

We see the Board as having two unique and indispensable functions (see Appendix 2, By-Laws of the Board). First, it has the legal and the pragmatic responsibility for ensuring the long-run welfare of the University. This function in turn has two principal components. First and more obvious is the financial component: the Board must be intimately involved in acquiring, conserving, and enhancing the funds needed to sustain the University. Second is the component of policy oversight: the Board must carefully review the major policy proposals that emanate from within the institution and, even more important, must satisfy itself that the process of policy development is on a sound footing. To a very large extent the Board does what it can in these respects by its choice of a president for the University. There is a kernel of truth in the hyperbolic suggestion that a meeting of a university board of trustees should open with a motion to fire the president and, if that fails, should be followed by a motion to adjourn. The point, of course, is that boards of trustees should select with considerable care the policy issues on which they exercise real oversight and, equally important, that they should free themselves to give careful attention to major problems by keeping the transaction of routine business to a minimum.

The other paramount function of the Board is to support the University in its relationships with other social institutions and with its external constituencies. Individually and collectively the Board must have both the prestige and the knowledge to serve as bridge and buffer between the University and the outside world—the alumni, governmental institutions, and the public at large. Prestige is easier to guarantee than knowledge. Trustees are busy men and women, who cannot give their undivided attention to what is going on inside the increasingly complex and diffuse institution that the University has become. Members of the Board are themselves prone to complain that meetings of the Board do not afford adequate opportunities for them to become informed in depth about important programs and other developments within the University. Here, again, the agenda of routine business, unless severely pruned, is likely to preempt the limited time available to the trustees and to prevent them from becoming optimally briefed, to the detriment of their external representational function.

All of our subsequent suggestions about the Board are prompted by a desire to see it perform its two paramount functions as effectively as possible. At this point, in the first of our recommendations, we state our view of those functions and urge that, in concert with other members of the University, the Board consider how to free itself for those functions by making substantial explicit delegations of operating responsibility for routine decision making. We note with interest the President's announced intention to ask the Board to set up a University Advisory Committee, composed of faculty, students, and trustees, for enhancing communication about University problems. We urge the members of this group, when it is constituted, to place the following recommendation on its agenda for early consideration:

1. The primary responsibility of the Board of Trustees should be to ensure the long-run welfare of the University and to support the University in its relationships with other social institutions and with its external constituencies. To free itself for more effective performance of this essential role, the Board should, in concert with other members of the University, reexamine its own policies and procedures in order to make substantial explicit delegations of operating responsibility.

The Board has recently decided to hold four of its nine meetings during the year on the campus. We think this is a step in the right direction but that it would be preferable to hold all meetings on campus, and we adhere to this view despite the unfortunate events of January 14, 1969. We can appreciate the reasons of convenience, particularly to trustees whose residence or place of business is in San Francisco, for holding meetings there. We strongly believe, however, that those reasons should yield to the importance of maintaining close trustee contact with the campus. Geographic remoteness detracts from the prime opportunities to bring members of the Board into closer contact with the other members of the University and thereby to increase their own awareness of what is going on in the University. We therefore recommend:

2. All meetings of the Board should take place on the campus.

At the present time the Board meets nine times a year in a format that brings all members of the Board together for only part of one day. The smaller committees typically meet on the day before the Board meeting. The morning of the meeting is usually taken up with the large committees, principally Academic Affairs and Finance. Following lunch, the full Board meets to pass upon recommendations from the committees, to hear a report from the President of the University, and occasionally to consider some items of business that have not been processed by a committee. These meetings of the full Board rarely take more than two to two and one-half hours.

The problem of how best to use the time that can be allotted by the busy men and women who make up the Board is a vexing one. Those members of the University who have had the opportunity to observe the Board in action tend to agree that a smaller number of meetings lasting for a longer period of time would enhance the utility of the meetings as opportunities for the Board to consider significant problems in greater depth, particularly if this development were accompanied by a reduction in the amount of routine business required to be transacted by the Board.

We have no pat prescription for how often or for how long the Board should meet. A full two days on campus seems desirable, especially if accompanied by opportunities for social contacts with faculty members and students. Perhaps a Friday-Saturday sequence would be manageable. Four or five such intensive meetings per year would entail no greater aggregate time commitment than the present nine meetings but would probably result in greater interaction between the Board and the University's major problems. On this question, as on others concerned with the Board, we intend our recommendation to be an agendum for detailed consideration by the Board in concert with other members of the University.

3. Meetings of the Board should be reduced in frequency and increased in duration so as to afford trustees a deeper familiarity with the University.

Stanford has become a national, if not indeed an international, university. Yet its Board of Trustees is essentially local: 15 of the 23 members are from the Bay Area, and only 5 from outside California. Broader geographical representation is essential. Adoption of a less frequent meeting schedule, as proposed above, would facilitate the addition of trustees from distant areas.

We note also that the present Board is composed almost entirely of businessmen (15) and lawyers (4). We believe that greater diversity is desirable. The recent election of John Gardner and Ernest Arbuckle gives the Board additional members with strong backgrounds in education, but we would urge the addition of members now active in higher education as well. Public officials and labor, religious, and minority group leaders could provide useful breadth to the Board.

In a recent interview with the *Stanford Daily*, the Board president noted that only one member is under 50 and expressed the view that some younger members should be added. We strongly agree. The average age of trustees is now 57 and should be lowered if a range of generational viewpoints is to be represented. We recommend that:

4. The Board of Trustees should seek to increase the diversity of its membership with respect to such factors as age, occupation, cultural and racial background, and place of residence. This effort should give a high priority to adding members who are actively engaged in teaching and scholarship at other universities and colleges.

The question of Board composition is closely intertwined with the issue of selection mechanisms. At the present time, the Board elects new members on the nomination of a Nominating Committee exclusively composed of Board members. We are not prepared at this time to recommend dilution of the self-perpetuating election process.[4] (Cf. Recommendation 10.) We do urge, however, that the nomination process be changed. We are aware that the Nominating Committee solicits suggestions about likely candidates for the Board from many sources. Whatever the reality of the nominating process, the appearance is that of a small group of trustees, immune to outside influences, forging a closed circle. Both to enhance general confidence in the nominating process and to insure that a wider variety of viewpoints are brought to bear on these crucial decisions, we recommend that:

5. The Nominating Committee of the Board should be enlarged to include members of the Stanford faculty, student body, and alumni.

At the present time, trustees are elected for ten-year terms, which are in practice renewed until age 70, at which time trustees become emeritus, with the privilege of membership on Board committees and attendance at meetings of the Board but without vote at Board meetings. In practical effect, this means lifetime membership for trustees. There is no question that trustees need to acquire the long view, that stability and continuity are important values to the Board, and, therefore, that substantial terms in office are desirable. We believe, however, that these objectives can be achieved with shorter terms that would permit greater flexibility in achieving the diversity of Board membership that we have previously urged (Recommendation 4). These terms should be so fixed as to permit longer service on the Board than in University administrative positions (see Recommendations 20 and 21). We therefore recommend that:

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[4] Mr. Hayes comments: "I do not share the hesitance of other members of the committee to make this recommendation. To put it in Recommendation 10 for further study is simply to put it on a shelf.

"Somehow the Board must be made responsive to the other members of the community, and the other members of the community must be able to view themselves as having an influence upon the Board. To achieve this end I recommend that the Board be expanded by six members, and that the students and the faculty each be permitted to directly elect five members to staggered five-year terms.

"The remaining 19 members would be nominated by a joint student-faculty-trustee committee, with an attempt being made to represent a cross-section of American society."

6. Trustees should be elected to five-year terms renewable not more than twice.

We considered whether Stanford faculty members and students should be added to the Board. While that move at first glance would seem an attractive possibility for enhancing the effectiveness of communication between the Board and the campus community, we concluded that substantial drawbacks outweigh that advantage. There would be a problem of role conflict, or even conflict of interest. There would be a representation problem, aggravated as usual by a selection problem. For students, there would be a problem of continuity. It takes a long time to become an effective Board member, and a student's tenure would be necessarily short.

However, the problem survives rejection of that particular solution. It is in our view highly desirable for faculty members and students to be in close and continuing contact with the work of the Board. We understand that view to be shared by many members of the Board and to be reflected in the current proposal for a University Advisory Committee composed of an equal number of trustees, faculty members, and students, chaired by the President of the University. We suspect, however, that this is at best a transitional device, just as the on-campus Committee of Fifteen (students, faculty, administrators) shows signs of becoming a transitional device, with a fairly short useful life. The spate of *ad hoc* committees that have been set up to deal with such problems as the relation of the University to the Stanford Research Institute, the status of ROTC programs, and the relation between student and faculty governing bodies demonstrates that a multi-purpose forum for "communication" like the Committee of Fifteen is inadequate to cope with the range of diverse problems on which students, faculty, and administrators have insights and viewpoints to express. We suspect that a similar cycle will rapidly be undergone by the University Advisory Committee.

Taking a somewhat longer view, we think that the most appropriate mechanism for insuring that faculty and student contributions are brought to the work of the Board is to provide for it where that work really takes place: in the committees of the Board. We have no specific proposals about numbers or selection mechanisms.[5] We do believe, however, that informed participation in Board committee activities can be substantially enhanced by extending voting membership in all Board committees to representatives of the faculty and the student body. We therefore recommend that:

7. Membership on Board committees should include Stanford faculty members and students as well as trustees.

The Board's Committee on Investments has recently taken the welcome step of inviting a member of the faculty from the Department of Economics to sit with it as a consultant from time to time. Since this is the committee that arbitrates the conflicting claims of the present and the future upon the University's resources, we consider it especially important that the general principle stated in the previous recommendation be applied to this committee. With respect to other Board committees the talents called for in faculty and student members are not specialized. Here, however, it is important for at least one representative of the campus community to approach the task with a sound base in economic knowledge and with an awareness of current trends in the management of University investments, including those sparked by the recent admonition by the president of the Ford Foundation on this subject. We therefore recommend that:

8. One or more Stanford faculty members with relevant expertise should serve as members of the Board's Committee on Investments.

Our last concrete recommendation for change in the Board's arrangements may be more symbolic than real, but we believe that it deserves consideration. This is to make the President of the University an *ex officio* member of the Board. This practice is common at other leading private universities.[6] We do not suggest that it would materially alter the way in which the President and the trustees deal with each other. However, it would in our judgment better symbolize the President's dual role as spokesman from the Board to the rest of the University and from the rest of the University to the Board. If the Provost is given the *alter ego* role suggested at a later point in this report (Recommendation 12), we believe that *ex officio* membership on the Board would also be appropriate for him. Our recommendation is that:

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[5] Mr. Hayes believes the method of selection should be determined by the respective constituency being represented.

[6] The President is a regular or *ex officio* member of the governing boards at Chicago, Columbia, Cornell, Harvard, MIT, Princeton, and Yale. At Yale, the President also presides over the Board.

9. The President and possibly the Provost should be *ex officio* members of the Board.

There are a number of other topics that we believe the Board should keep under continuing review, in concert with other members of the University. The new University Advisory Committee may be an appropriate forum to discuss them. We list them here without further elaboration:

10. The Board, in concert with other members of the University, should study and consider: enlarging the Board to perhaps double its present size;[7] direct election of one or more trustees by each of the following groups–the faculty, the student body, the alumni; creating an Executive Committee to maintain continuity between meetings.

Central Administration

The complexity of the academic enterprise at Stanford has increased dramatically in the past decade. Rough measures such as the growth of the faculty (98 percent), of the student body (37 percent), of the budgets (operating, 280 percent, consolidated, 310 percent), tell only part of the story. The ways in which people work and the agencies both within and without the University to whom they are in some way accountable have become more diverse. And the demand for greater participation in decision making has immensely complicated the task of administration. While the managerial capacity of constituent parts of the University has kept pace, the overall managerial capacity of the University has not. This is an understandable phenomenon, given the reality and (most would assert) the desirability of decentralized administration. Yet the University as a whole may be flirting with disaster because of the inadequacy of its managerial capacity to respond

[7] Mr. Good demurs on the recommendation that the Board be enlarged.

effectively to problems that require University-wide solutions. One recent example was the necessity, imposed upon the University by the National Science Foundation, to work out a distribution of budget reductions occasioned by a cutback in government spending. Another was the wrangle over stipends for Teaching Assistants and the still unresolved, underlying problem of the role of these positions in graduate education. When we talk of the necessity for *University-wide* solutions, we do not mean uniform solutions, which is one reason why the problem of central academic management is so complex. We can neither impose a deadening bureaucratic uniformity on all segments of the University nor allow each segment to go its own way. The University is a conspicuous example of political and economic federalism. It exists in a perpetual state of tension between the pulls of local autonomy and central authority. That is the way it has to be. But central authority is likely to make severe errors of omission and commission unless its capacity to manage is commensurate with the tasks it faces.

To begin at the top, we are convinced that the principal officers of administration are currently so burdened with day-to-day operating responsibilities that their capacity to exercise educational leadership is severely constricted. Furthermore, we think that the trend toward complexity is running swiftly and that it cannot be reversed. Presidents and provosts all over the country are dropping from exhaustion, burnt out after a few years in office. "Management" and "delegation" are disfavored terms in universities; but universities are not immune from the problems of large, complex organizations. We must face squarely the need for more management and for more delegation.

We believe that the President and the Provost should explicitly free themselves from exercising day-to-day operating responsibility by delegating that responsibility to an echelon of administrative officers immediately below them. They should focus on their non-delegable leadership functions: 1) drawing from the enterprise as a whole (which means, primarily, from the faculties) realistic goals for maintaining and improving the quality of the University; 2) planning how to achieve those goals; and 3) representing and communicating about the University to its members and its external constituencies. These functions are essential. They are also inconsistent with being on perpetual call for fire-fighting duty.

The range of activities comprehended with the functions that need to be performed by the leadership of the University include both inward- and outward-looking activities. One model that is frequently employed is to view the president as "Mr. Outside" and the provost as "Mr. Inside." We reject that view. The functions do not divide up neatly that way. It is up to the President to work out with his Provost the manner in which they share external and internal functions.

The President has traditionally been the pivotal link between the Board of Trustees and the University. We think that the complexities are such that he and the Provost should both function in that fashion. As we suggested earlier (Recommendation 9) it might be well for both to be *ex officio* members of the Board.

Since we visualize an *alter ego* relationship of Provost to President and since the Board's exercise of control lies essentially in its power to appoint and remove the President, we think that the Provost should serve at the pleasure of the President (and of the Board). We have considered whether the President should serve a term appointment (a principle that we endorse hereafter for other officers of academic administration) but have concluded that he should not.[8] The burdens of the office have become so heavy that it is unlikely that we will again see the long tenure in office of a Jordan or a Wilbur. In order not to deter the appointment of a relatively young man as President, we believe that explicit provision should be made for retirement before the age of 65 on generous terms for an incumbent who no longer wishes to carry the burdens of office.

We recommend that:

11. The principal role of the President should be to exercise educational leadership. He should be free to devote himself primarily to that role in the following ways, among others: a) drawing from the enterprise as a whole realistic goals for maintaining and improving the quality of the University; b) planning how to achieve those goals; c) representing and communicating about the University to its members and its external constituencies. In order to enable the President better to perform these paramount functions, the administration should be so designed that routine day-to-day decision making devolves upon other officers of administration, freeing the President for the making of major decisions.

12. The Provost should function as the President's chief deputy, with such division of functions as may suit their respective talents and interests. Together, they should perform the functions referred to in Recommendation 11, making such explicit delegations of day-to-day responsibility as are

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[8] Mr. Hayes comments: "It is not uncommon in American higher education for an institution to find itself saddled for years with an ineffective leader. Sometimes a man burns himself out; sometimes events simply pass him by. In any case, there must be some way to gracefully remove a president with as little loss as possible to either the man or the institution.

"The obvious solution is the renewable term. I would suggest a five-year term, renewable to age 60."

necessary to free them for their primary task. Given the close relationship envisioned, the Provost should serve at the President's pleasure.

The Office of the President and the Provost should include a staff to assist them in their work and to carry on functions such as central budgetary planning and control and studying problems and opportunities of University-wide interest. The planning of physical facilities should be under the direct control of this Office and the Planning Office should report directly to the President, instead of the Vice-President for Business Affairs as at present. The Director of the Academic Planning Office (as defined in Report I) should be a member of this staff. Members of this staff without specifically designated responsibility might be designated simply as Counselors to the President. They should range from the most senior officers of administration to the most junior, with a healthy admixture of the latter. Part-time service by faculty members in these positions should be strongly encouraged. We recommend that:

13. The President and the Provost should be assisted by a staff adequate to enable them effectively to discharge the functions described above. This staff should include but not be limited to those officers of administration referred to below who have day-to-day decision-making responsibility for various sectors of the University.

14. Part-time service by faculty members on the presidential staff should be strongly encouraged.

15. The Physical Facilities Planning Office and the proposed Academic Planning Office should be directly responsible to the President and the Provost and their directors should be members of the presidential staff.

Operating responsibility should be delegated to an echelon of officers reporting to the President and the Provost and representing the functions that need to be carried on. These functions include academic administration (roughly, the present role of the Provost), student affairs, fund-raising, fiscal management, business affairs, research and research facilities, governmental relations, public relations. We think that these functions should be grouped and headed by a manageable number of vice-presidents and vice-provosts (which should be equivalent titles) reporting to the President. The primacy of academic considerations would be enhanced by removing the Provost from his present *primus inter pares* status as one of four vice-presidents and elevating him to a position in which all other officers of administration are subordinate to him and to the President.

Given the size and complexity of the medical school and hospital operation, we endorse the present arrangement under which the Dean of the Medical School is Vice-President for Medical Affairs. We think there should be an officer in charge of research who has general supervision over the administration of sponsored research, over intra-university information systems, over libraries, and over research institutes. It is a close question whether there should be an officer in charge of student affairs reporting directly to the President or whether student affairs and services should be under the supervision of the vice-president or vice-provost for academic affairs. On balance, we prefer the latter solution, since jurisdictional lines between student affairs (residence, counseling, extra-curricular activities, and disciplinary matters) and the central education process of the University are notoriously difficult to draw.[9] The deans of the schools should not have to look to two different officers for guidance and support in carrying on their functions. Students, faculty members, curricular programs, and the educational process of the University should be the day-to-day responsibility of the Vice-President for Academic Affairs. He should deal with the great bulk of the problems presently dumped in the laps of the President and the Provost.

Finally, we think that all of the non-academic support functions of the University–fund raising, fiscal management, business affairs–should be under the control of a single administrative officer for business and finance.

In summary, we recommend that:

16. Day-to-day central decision-making responsibility should be assigned to a group of officers called vice-presidents or vice-provosts in areas such as the following (the areas proposed are merely illustrative):

a. *Academic Affairs*: **the instructional budget; faculty appointments and promotions; curricular programs; admissions and financial aids; overseas campuses; student affairs and services.**

b. *Research Facilities and Programs*: **sponsored research; intra-university information systems; libraries; computer facilities; research institutes.**

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[9] Mr. Hayes comments: "In making this proposal the committee failed to recognize that the terms 'educational' and 'academic' are not synonymous: the former is much larger than the latter. Experience at Stanford would seem to demonstrate that the chief academic officer tends to be too busy to give the broader topic of student affairs its due consideration.

"Within my own utopian view of the university (as an institution created for the primary purpose of 'educating' students with research, scholarship, and publishing valued only as they contribute to that purpose, rather than as ends in themselves) the chief officer for academic affairs would be under the supervision of the officer in charge of all student affairs."

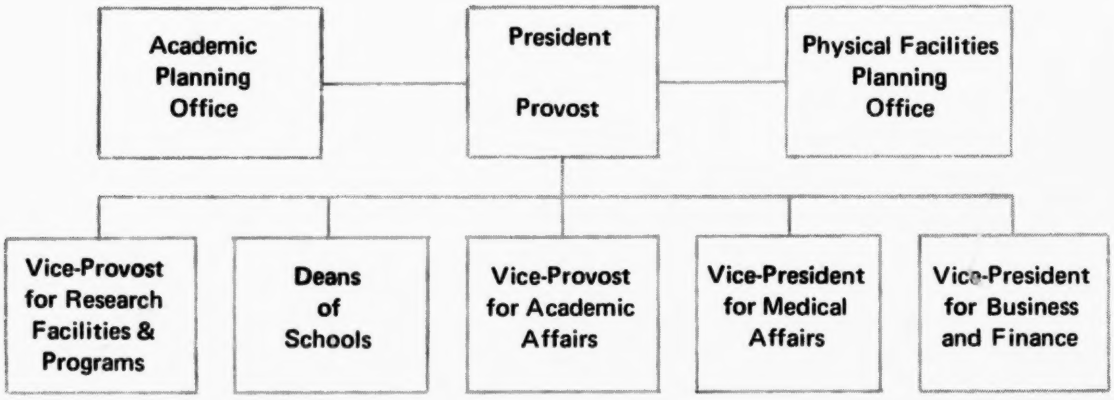
c. ***Business and Finance*****: fund raising; fiscal management; business affairs; real estate management.**

d. ***Medical Affairs*****: the medical school and the hospital.**

(N.B.: This scheme would divide the Provost's present responsibilities between a. and b., would combine the responsibilities of the Vice-Presidents for Business and Finance, and would leave Medical Affairs as presently allocated.)

Shown below is an organizational chart embodying the revised structure of the central administration as we see it. Each of the vice-presidents and/or vice-provosts would have responsibility for a portion of the University budget, a responsibility that would in turn be delegated further to officers of administration.

Proposed Central Administration Structure


Academic Planning Office
President
Provost
Physical Facilities Planning Office
Vice-Provost for Research Facilities & Programs
Deans of Schools
Vice-Provost for Academic Affairs
Vice-President for Medical Affairs
Vice-President for Business and Finance

A word needs to be said about the relationship of the academic deans (deans of schools, Dean of Graduate Studies, and Dean of Undergraduate Studies) to the central administrative echelon we are proposing. The academic deans are and must remain the key operating academic officers of the University. Their ability, energy, and creativity are at least as important to the success of the academic enterprise as are those of any central administrative officer. They represent the principle of academic federalism in action. Consequently, their status should not be regarded as in any way inferior to that of the vice-presidents or vice-provosts. Here is where the corporate analogy must not be allowed to dominate. Perhaps the most practical way of insuring that it does not is to provide that the salary range for vice-presidents and academic deans should be the same.

We recommend that:

17. To avoid undue bureaucratization and uniformity for its own sake, the deans of schools should have the maximum degree of autonomy consistent with orderly procedures and should continue to enjoy direct access to the President and the Provost as at present.

Stanford, like other universities, numbers among its administrative staff those who have taken higher education, rather than an academic discipline, as their professional interest. The career pattern of such individuals typically shows that they have combined lateral with upward mobility on an occupational spiral, eventually reaching positions of substantial responsibility at Stanford or elsewhere.

Up to now, the University has taken no explicit responsibility for arrangements that assured such persons of internal mobility. With the proposal that certain administrative roles be filled by faculty members for specific terms of varying length (see *infra*, Recommendations 19–21) a set of complementary roles suggests itself. This set is made up of those roles whose incumbents provide continuity through systematic knowledge of the institution over time and who develop with academic officers relationships in which new ideas are illuminated by considerations of both innovation and continuity.

We would expect non-academic administrative officers to balance high order managerial talents with an understanding of the function and character of the University. Such a balance is necessary to prevent management decisions from interfering with academic functions and to prevent academic functions from faltering because financial, administrative, or other kinds of support are not as quantitatively and qualitatively great as they might be.

A program for attracting, training, and promoting a talented group of non-academic administrative officers should be developed. The operational characteristics of such a program appear to fall into four categories: selection, positions and training, review and evaluation, career placement.

Selection: Persons already here, persons who are specifically recruited, and persons who join the University without reference to the program comprise the population from which members of the Career Administrative Group (CAG) may be drawn. Selection should entail those procedures that disclose unusual talent, and special account should be paid to candidates' values and expectations toward higher education.

Positions and training: Suitable positions should be identified in the approximate ratio of 2:1 for persons in the program. This excess of positions will permit flexibility for both the CAG member and the division head in matters such as length of term, choice of next position or candidate. Entry level positions should be carefully identified and a commitment secured for the time needed properly to orient an individual new to the University. Entry level and other positions should exist throughout the University in those areas where working relationships involve broad rather than narrow educational questions (e.g., assistant dean rather than assistant director of physical plant, work in University Relations rather than in University Publications, fund raising rather than accounting or record keeping).

Review and evaluation: A small committee of administrative officers should select and monitor the progress of CAG members. That committee's responsibility extends to division supervisors and to the CAG personnel to see that both the role and the incumbent exist and operate in accord with the program's objectives. Promotions and salary should be determined by this committee.

Career placement: Most CAG individuals will probably follow careers elsewhere. Some will find their ambition suited to middle-level positions. Others will move out of the program to positions of increasing responsibility at Stanford. The committee will be responsible for encouragement appropriate to which among these three alternatives best suits given individuals.

A program for a Career Administrative Group might be established on a trial basis to determine if it is the best means of providing and encouraging the non-academic talent that Stanford will require in the years ahead. Only the minimum outline of a program is noted here, and that outline is tentative. Another similar plan, developed by a group of administrative officers, is reproduced as Appendix 3. We invite others to think about the need and the best way of meeting it. In summary, we recommend that:

18. In order to enhance the University's capacity to deal with the increasing complexity of its existence by attracting and retaining a talented group of non-faculty administrators, there should be established on a trial basis a Career Administrative Group. Members of this group should be rotated regularly among administrative functions and should be assured permanent positions at the University once their qualifications have been determined.

School and Departmental Administration

We believe that faculty members who serve as officers of administration should be protected, as should their colleagues in the faculty, from having "the administration" either be or appear a sharply defined group of managerial specialists who are isolated from the faculty or entrenched in permanent positions of power. These observations apply with equal force to officers of the central administration and of school and departmental administration. There are, as we see it, three principles whose observance should help to reduce the risk of alienation between officers of administration and their faculty colleagues. The first is that their selection should be preceded by a formal search or, at the very least, by informal consultation that involves all those directly affected. In the case of deans of schools and University officers of administration having independent responsibilities (whether or not drawn from the faculty) a formal search should take place. Search committees should be constituted by the President in consultation with the Senate's Committee on Committees and, in the case of deans of schools, with the faculty of the school. Participation by students, either through membership in search committees or in a consulting role, should be encouraged.[10] In the case of units small enough for all members to be consulted, which is generally speaking true of departments, a formal search committee may be otiose. But if there is no formal search committee, the dean must take great care to give all members of the department an adequate opportunity to be heard.

The second principle that we think should be observed is that officers of administration should serve for a definite term of years. The length of the term will vary with the office, as we suggest in later recommendations, but the principle is the same. There should be a definite point at which everyone concerned recognizes that a change may or must take place. Ordinarily, a fixed term of years with one optional renewal should suffice.

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[10] Mr. Hayes comments: "There seems to be every indication that students have moved beyond the 'consultation' stage. Students are presently actively serving on four very important search committees, and I suspect that their contribution will be found to be substantial.

"Further, it is generally conceded that students will be involved in the selection of the next President."

Finally, explicit provision should be made for a period of paid leave following a term of office and before the occupant is expected to resume his regular faculty duties. No busy administrator, be he a provost, a dean, or a department head, can possibly keep up his scholarly work at its optimal level. A period of retooling is needed. If faculty members of the requisite competence are to be recruited for these tasks, an explicit policy to that effect would be helpful. The length of the leave would of course vary depending upon the length and intensity of administrative service. In many cases, some flexibility about accelerating a sabbatical would probably suffice.

We can sum up our recommendations for promoting the kind of faculty administrative service we think desirable as follows:

19. The following general principles should govern the selection and tenure of faculty members serving as deans of schools, department heads, and other officers of academic administration:

a. They should be selected on the basis of a formal search or of informal consultation.

b. They should serve for a definite term of years.

c. They should be afforded an appropriate period of leave upon resuming regular faculty status.

With respect to tenure in office, we believe that longer terms are desirable for deanships and other University-wide offices of academic administration than for department chairmanships. We suggest terms of five and three years, respectively, renewable once. Because exceptional circumstances may arise in which some deviation from this policy becomes highly desirable, we believe that it should be stated as a norm rather than a fixed policy. Finally, if these policies are enacted, some provision should be made for their application to incumbents. We suggest a formula for that purpose with the observation that it should be applied flexibly so as not to burden the deans of multidepartmental schools (especially Humanities and Sciences) with the need for appointing a large number of department chairmen in any given year.

We recommend that:

20. Deans of schools and other University-wide officers of academic administration should ordinarily serve a term of five years, renewable once.

21. Heads of departments should ordinarily serve a term of three years, renewable once.[11]

22. At such time as Recommendations 20 and 21 are put into effect, all incumbents of affected positions should be deemed to have completed a first term in office, or their actual period of service, whichever is shorter.

The schools and departments are the basic functional units of the University. Within limits, federalism is as desirable as it is necessary. Wide variations in practice exist among the schools and departments of the University with respect to faculty participation in decision making. Uniformity of practice is neither necessary nor desirable; but some principles need to be enunciated to ensure that members of the faculty enjoy adequate participation in the affairs of the academic unit to which they belong. At a later point, we deal with the role of students. Here we seek to affirm principles of faculty participation that, while widely observed in practice, are not codified in the statutes of the University. We do not attempt a definitive statement of who constitutes "the faculty," or of whether membership in the Academic Council should be broadened to include short-term appointees, such as instructors and lecturers, who carry on teaching functions. Nor do we suggest a uniform code of procedure for each school or department. The general minimum standards for faculty participation that we believe should be observed are as follows:

23. Each school or department should ensure that each of its members who is a member of the Academic Council participates in decision making on matters of substantive concern. Each such member should be informed of all proposed appointments and promotions that entail Academic Council membership. Each such member at or above the rank to be filled through appointment or promotion should have a formal vote. The Advisory Board and the deans of schools should have the responsibility of ensuring that the conduct of departmental business adheres to these standards.

In the management of departmental affairs, there is an increased need for qualified support personnel to deal with routine problems so that department chairmen may concentrate on academic leadership, particularly in the areas of curricular development and faculty recruitment. It is now the case in a few of the larger departments that an administrative assistant handles routine financial management, scheduling of courses, processing of graduate applications, space assignments, office management, and related tasks that interfere with those activities on which chairmen should concentrate their attention. Whether or not a full-time administrative assistant is needed for each department, it is clear that all departments can profitably use some services that require management skills. We therefore recommend that:

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[11] This recommendation differs from the Steering Committee's recommendation of five-year terms (p. 4).

24. Each department should be authorized and, as possible, budgeted to employ an administrative assistant to handle routine departmental business.

University-wide Faculty Committees

The primary mechanism for faculty participation in the governance of the University is the Senate and the committees that are appointed by and report to it. Although the Senate is only in its first year of operation it has clearly demonstrated its superiority as deliberative and decision-making body over the Academic Council. Like any legislative body, the Senate must rely heavily upon the work done in committees. The University's committee structure is complex and is in a state of flux. The Senate's Committee on Committees is devoting intensive effort this year to rationalizing and restructuring the committees upon whose work the Senate must rely. In this section of our report we will restrict ourselves to some general observations that may be of use in appraising proposals for change that emanate from the Committee on Committees.

We see a need for two categories of faculty committees: 1) standing committees, of the kind that have been known heretofore as committees of the Academic Council, *e.g.*, committees that deal with areas as to which the faculty has legislative authority, such as undergraduate admissions, the undergraduate curriculum, University degree requirements at both the undergraduate and graduate levels, research policies; 2) *ad hoc* committees, to deal with problems of immediate concern that require a definitive resolution but do not call for continuous policy supervision. As this year's experience has shown, *ad hoc* committees will tend to be called for in situations where the faculty is only one of the constituencies that has an interest, so that the committee will not be, strictly speaking, a committee *of the faculty*. Nevertheless, we think that it is appropriate for the Senate, acting through its Committee on Committees, to control the appointment of faculty members to all University-wide committees, whether they are committees of the Academic Council or the Senate ("faculty committees") or are mixed committees in which there is a faculty component.

In the next section of this report we deal with the issue of student participation in faculty committees. Here we want to make the point that a faculty committee remains a faculty committee although its membership may include persons, including students, who are not members of the faculty. It remains a faculty committee because it is appointed by and is answerable to the Senate. A committee of identical composition, appointed by the President of the University or the Board of Trustees or the President of the Associated Students, is not a faculty committee. The distinction becomes important because the Senate may on occasion wish to delegate decision-making authority to certain committees. It is important that it be free to do so in order to provide for the efficient conduct of faculty business; but it should do so only with respect to committees that it has appointed and that are answerable to it. In summary, we recommend that:

25. The primary mechanism for faculty decision making on University-wide issues should be the Academic Senate acting either in its own right or through committees answerable to it.

The group of recommendations that follow have to do with the standing committees of the faculty that exercise continuing policy supervision over areas of academic concern. They are intended to help insure that these committees conduct their business efficiently without becoming oligarchic. Rotation of membership is essential, but is not presently required by the Articles of Organization of the Faculty (see Appendix 4), except in the case of the Advisory Board and the Senate. The principle should be generalized. We therefore recommend that:

26. Consecutive membership on a standing committee should be limited to two three-year terms. A person should be eligible for further appointment only after an absence from the committee of three years.

27. No person should serve as chairman of a faculty committee for more than three years.

The role of officers of administration in faculty committees raises difficult questions. They clearly ought not to serve as chairmen of committees that, in theory, are overseeing their operations. Equally clearly, they should be available to participate in the committee's deliberations. We think that they should influence the outcome of those deliberations through their power of persuasion, not through the power of the vote. The question, then, is whether they should be *ex officio* non-voting members or should simply have the privilege of attending and participating. On the whole, we think that the latter course is preferable. It is not always easy to specify which officers of administration should be *ex officio* members of committees. Some committees get inundated with *ex officio* members. (There is one committee that has five such members!) It should be an equally satisfactory way of assuring adequate communication between faculty committees and relevant officers of administration to provide a general privilege of attendance and participation that does not impose on these busy men the burdens of formal committee membership. We therefore recommend:

28. An administrative officer whose area of operations falls within a committee's purview should participate in its deliberations without vote. He should be ineligible to serve as chairman.

29. Agenda and minutes of standing committees should be circulated to all relevant officers of administration, who should be entitled to attend and participate in any meeting in which they have an interest.

It is very important that standing committees receive adequate staff support. Each such committee should have a staff member who is responsible, under the chairman's direction, for preparing and circulating agenda, keeping minutes, and in general seeing to it that decisions taken by the committee are adequately executed. This form of staff service should be a useful training device for junior candidates in the Career Administration Group proposed in Recommendation 18. On occasion, committees will wish to undertake a non-routine study in depth of some problem within their purview. Those junior members of the faculty who are serving as the Fellows of the University under the recent Ford Foundation grant should provide a valuable resource for this purpose. The chairmanship of a standing committee imposes heavy obligations that should where appropriate be taken into account in adjusting the teaching program of the chairman. We doubt that any standard formula would be wise, any more than a standard formula for teaching responsibilities generally would be wise. We do assert, however, that this form of University service carries costs that should be borne in part by the institution. We recommend that:

30. Standing committees should be provided with staff support. Chairmen of standing committees should receive relief from other duties commensurate with the obligations of their office.

There always tends to be a struggle between the interest of keeping a committee small enough to function effectively and making it large enough to afford adequate representation to the various interests that are thought to be involved. We believe that committees at this university have tended to be larger than is consistent with effective and responsible participation by all members. The problem is exacerbated by the desirability of including student and other non-faculty members, thus swelling the numbers if representational interests are given full rein. We believe that through the use of subcommittees, some of whose members do not belong to the parent committee, and through intensified efforts to involve and inform interested non-members of the committee, committees will be enabled to serve as sounding-boards for various shades of opinion without at the same time becoming so large that their effectiveness as a working group is compromised. We recommend that:

31. Committees should be small enough to function effectively and to give each member a sense of responsibility for the committee's work. Only in exceptional circumstances should a committee number more than nine (inclusive of non-faculty members). Standing committees should be encouraged to form subcommittees some of whose members do not serve on the parent committee.

Most faculty members find themselves serving on a variety of school or departmental committees. The additional burden of service on University-wide committees should be spread as broadly as possible. We note with approval that the Academic Secretary is preparing, at the request of the Committee on Committees, a roster of the faculty that shows past and current committee service. We further recommend that:

32. No faculty member should serve on more than one standing committee. In order to enforce that rule and to reduce scheduling problems, a special time should be set aside weekly for meetings of standing committees. This two-hour period should be kept free of scheduled classes and major campus events.

Student Participation in Faculty Committees

The title of this section, deliberately narrow in scope, may disappoint[12] those members of the University who think that the spirit of the times requires some sweeping or even apocalyptic statements about the role of students in the governance of the University. We have no statements of that sort to make. In particular, we find no basis at the present time for opining about the concept of "community government," a vague phrase, quite without operational content, whose very vagueness makes it a rallying cry for some and a source of disquiet for others.[13]

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[12] Mr. Hayes comments: "I am one of the disappointed. This section is one of the most paternalistic pieces of nonsense which has been written on this topic in the last several years; it endeavors to sweep the major governmental problem of our times under a corner of the rug.

"What students are asking for today is not the right to give advice, but rather the right to help make decisions. We do not want to be dependent upon some all-faculty group which will set up committees, prepare charges for committees, determine how many students should serve on the committees, and review the student nominees to committees. This becomes particularly insulting when you realize that those committees are merely advisory to an exclusively faculty body which will review their recommendations and then make the final decision by exclusive vote of the faculty.

"Students are already serving on virtually every committee in the whole bloody University, and serving well! This is desirable, but it hardly constitutes an end goal. If 'committees' were any answer to our discontent, there would be no need for a Study."

[13] Mr. Hayes comments: "To argue for the 'community' or 'joint constituency' formula is not to deny the legitimacy of the interests of either the faculty or the student body. The proportional interest between the two constituencies will frequently be skewed in the direction of one of these groups or the other, and it is desirable that the constituency being primarily affected be able to act independently. They therefore must retain their autonomous governmental bodies.

"Community government is something in addition. The case for community government rests upon the fact that there presently exists no deliberative body to pass judgment upon those issues which are of enormous importance to *both* groups. The overwhelming bulk of these issues presently fall within the exclusive purview of the faculty, and they are subject to departmental log-rolling and the other forces of vested interests.

"If *de jure* authority for University governance lies in the hands of the trustees, *de facto* power in most areas today rests with the faculty.

"This is a relatively new development, slowly emerging only since World War II. Somewhat uncomfortable in its newly acquired driver's seat, the faculty tends to be very jealous of its prerogatives. If the traditional administrative government generally exhibited the mentality of a disdainful aristocrat, the faculty has become the paradigm of the *nouveau riche* mentality.

"It is possible to eschew elaborate analyses and characterize what's really happening quite simply. The students are saying, 'We want a piece of the action,' and the faculty is saying, 'No.'

"There have been several elaborate formulas proposed for community government. There is certainly nothing 'vague' about the concept. The common thread is that there should be a central joint student-faculty deliberative body to evaluate and pass judgment on items of mutual concern.

"The Stanford faculty has repeatedly shown itself far too jealous of its authority to seriously consider sharing it in this manner. I expect this attitude to change as the new faculty Senate grows more sure of itself, and as student power begins to acquire a broader base.

"One can only hope the change will come soon enough."

We believe that power in the University is diffuse and polycentric. We also believe that power in the University—the capacity significantly to affect outcomes—is very largely associated with the study and discussion of concrete propositions through the pedestrian and unglamorous work of committees. The locus of educational power is primarily the faculty. And the way in which that power gets exercised is through the work of committees at the University-wide, the school, and the departmental levels. Consequently, we believe that the appropriate and effective way to secure greater student involvement in academic decision making is through participation in the work of faculty committees rather than through a separate and parallel structure of "student government." While the mode and extent of that participation is a matter of keen debate both within and without this committee, all of us are agreed that some form of student participation in the work of faculty committees is highly desirable. Over the last few years, student participation has been greatly enhanced at the University-wide level and in some schools and departments. What we have to propose on these issues is at least as much codification of what has already been achieved as it is breaking new ground. We have previously recommended student membership on committees of the Board of Trustees (Recommendation 7). Our recommendations under this heading follow the same pattern.

We start with the most visible of the "committees" of the faculty, the Senate (see Appendix 5, Charter of the Senate). The Senate presently consists of 53 voting members, elected from major constituencies within the Academic Council, and 12 *ex-officio* members without vote (the President, the Provost, the academic deans, and the Academic Secretary, all of whom are members of the Academic Council). Subject to certain review procedures, the Senate has the same functions as the Academic Council. It is, therefore, the primary decision-making body of the faculty. It does not include student members, nor does it include representatives of those faculty members who are not members of the Academic Council (instructors, lecturers, etc.), nor of persons holding research appointments, nor of other employees of the University. It is purely and simply an organ of the Academic Council.

Many members of the faculty believe it to be constitutionally inappropriate to include representatives of any other University constituency in the Senate. That view is contested by many members of the student body, who assert that they have at least an equal interest with the faculty in decisions about the educational processes of the University.

A majority of this committee believe that students should be included in the Senate without vote.[14, 15] The principal argument for inclusion is based on analogy with the inclusion of administrative officers. The presence and voice of administrative officers, it is believed, make the Senate a more useful deliberative and decision-making body than it would be without them, because of the information and perspective on the University's problems that they bring to bear. In turn, they are enabled to perform their roles more effectively because of what they learn of faculty opinions from the proceedings of the Senate. The same point can be made about the inclusion of students. The presence of the ASSU President as a regular invited guest with the privilege of the floor has been generally thought a useful resource for the Senate. And *ad hoc* presentations by students interested in such problems as ROTC have helped to inform the Senate's debates. The analogy with administrative officers breaks down, of course, when one considers the question of how to identify the students who might usefully participate in meetings of the Senate. Beyond the elected representatives of the student body, such as the President and Vice-President of ASSU, there are no obviously appropriate *ex officio* student members. The question becomes, therefore, as it so often does in matters relating to student participation, one of devising an appropriate selection mechanism. In the case of the Senate, direct election by appropriate student constituencies would seem to be the best device. How many students should serve in this capacity is a question that can best be determined by the Senate. How the elections should be arranged--whether entirely at large or by some constituency scheme–is properly left to the student body for determination, subject only to the proviso that the Senate must satisfy itself about the fairness of the procedure. We therefore recommend:

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[14] Mr. Hayes comments: "In addition I would urge that the President of the Associated Students be made an *ex officio*, non-voting member of the Steering Committee of the Academic Senate. A parallel position is now occupied by the Provost.

"On several occasions this past year the Steering Committee has placed items on the agenda of the Senate which were of enormous importance to the student body. But the president of the student body would learn of the agenda just two days before the meeting, he would then have to petition the Steering Committee for permission to invite a representative student panel into the Senate, he would be told the Steering Committee would be having no more meetings before the Senate met, and then he would spend the final day frantically seeking student participants and persuading some faculty ally to introduce the students from the floor."

[15] Messers. Heffner and Royden dissent. They state, "The position of the Senate as the representative of the Academic Council should not be further compromised by the inclusion of still another category of members whether voting or non-voting. We believe that student views can be adequately presented through student membership on academic committees and through the mechanism of individual or group petition recently recommended to the Senate by its *Ad Hoc* Committee on Student Relations. We also believe that, conversely, the viewpoints and actions of the Senate can be best transmitted to students and, indeed, to the academic community as a whole by opening Senate meetings to the University public. This recommendation is also made by the *Ad Hoc* Committee."

33. An appropriate number of students, as determined by the Senate, should be members of the Senate without vote. These students should include the President and Vice-President of ASSU *ex officio*. Additional student members should be elected in the spring general election of ASSU.

The business of the University, as we have said before, is conducted in the main by committees that function at every level: University-wide, school-wide, and departmental. Indeed, some wit has suggested that the appropriate collective noun is a plague of committees. Be that as it may, it is these committees that make, either *de jure* or *de facto*, most of the important collective decisions about educational policy that get made. Until quite recently, students were not eligible for membership on committees of the Academic Council.[16] However, for some years students have been serving as "consultants" to such committees and also to presidential committees. The Senate Charter, approved by the Academic Council on April 11, 1968 (see Appendix 5), broadens eligibility for committee service in the following terms:

"Section C. *Standing and Ad Hoc Committees*
"Membership of standing and *ad hoc* committees shall conform to the following:

> "1. The Chairman shall be a member of the Academic Council; at least one member of each committee shall be a member of the Senate; and the remaining members shall be drawn from the Faculty, the University Staff, and/or the Student Body as appropriate to the committee's charge.
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> "2. Any committee may add to its membership additional persons from the Faculty, the University Staff, and/or the Student Body, as appropriate to the Committee's charge, not to exceed in number one-third of the original membership."

It will be noted that this provision is purely permissive, as regards student membership on committees created by the Senate. It says nothing about the criteria for deciding when it is "appropriate to the committee's charge" for students to serve as members. That issue is also sidestepped in the series of resolutions on the subject enacted by the Senate at its meeting of September 12, 1968, which reads as follows:

> "a. That students be eligible for membership on all Committees of the Academic Council. This reflects our belief that much of the ongoing work

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[16] Articles of Organization of the Faculty (June 1967 compilation), Chapter VII, Section 1(b). See Appendix 4.

of the Senate will be done in committees and that is the level at which student participation, contribution, and acceptance of responsibility is especially important.

"b. That students who are members of committees be voting members and that they be expected to assume full responsibility for committee work as well as being given full rights of participation in the committees of which they are members.

"c. That the various Committees of the Academic Council, whenever students disagree with the report of a Committee on which they serve, invite student members to submit in writing a statement of their point of view and the reasons therefor, to be circulated to members of the Senate in advance of any meeting in which the matter is to be discussed. Student members of the Committee concerned should be invited to the Senate meeting at which the report is discussed and should be invited to speak on their differing point of view, but only if they have submitted in advance a statement of their viewpoint as provided above.

"d. That the President consider similar policy with regard to student membership on appointed Presidential Committees."

In fact, the Senate's Committee on Committees has regarded the first of these resolutions as a mandate to include student members on all committees unless a persuasive reason to the contrary is adduced. We think that this practice is sound and should be explicitly adopted as University policy, for school and departmental as well as University-wide committees. Although *ad hoc* exceptions may appear from time to time, there is only one category of committee for which students should not be eligible: committees dealing with the appointment and promotion of faculty members. A majority of this committee considers that a direct student voice and vote in the faculty selection process would be inappropriate because only members of the faculty are fully qualified to judge the scholarly credentials of prospective appointees.[17] At the same time, we affirm the relevance of student opinion about the educational effectiveness of faculty members. That opinion should be systematically gathered and carefully considered by all who are engaged in the appointment and promotion process.

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[17] Mr. Hayes comments: "A minority of this committee considers that a direct student voice and vote in the faculty selection process would be entirely appropriate because only students 'are fully qualified to judge' the teaching effectiveness of prospective appointees. The loudest opponents of student participation in this area are generally those who would have the most to fear from student participation."

We think it would be unwise to prescribe any fixed proportion of students to serve on committees of the faculty. Nor do we think it appropriate for the faculty to legislate on the subject of selection mechanisms. At the University-wide level, the present procedure is for the President of ASSU to solicit applications for committee memberships, make nominations subject to ratification by the Student Legislature (LASSU), and submit the nominations to the Committee on Committees, which routinely accepts them and appoints the students thus nominated. This procedure obviously depends upon a high degree of mutual confidence between the President of ASSU and the Committee on Committees, a state of affairs that prevails at the present time and that we hope will continue. So long as the Committee on Committees (or other appointing agency) can satisfy itself that the opportunity to be considered for committee service is open to all students and that adequate representation of various viewpoints is assured, the operation of selection mechanisms should continue to be the exclusive responsibility of student government. The same principle should govern with respect to school and departmental committees, *i.e.*, relevant student groups should select students for membership, subject only to assurance of procedural good faith.

In summary we recommend that:

34. It should be presumed, in the absence of good cause shown to the contrary, that students have a contribution to make to the work of each University-wide, school, and departmental committee and therefore should be eligible for membership on each such committee. This eligibility should not extend to committees dealing with the appointment and promotion of faculty members. Students' judgment about the educational effectiveness of faculty members is valuable and should be used in reaching decisions on appointment and promotion.

35. The appropriate number of students on such committees should be determined in the case of committees of the Academic Council by the Senate's Committee on Committees and in the case of school and departmental committees by the faculties of the schools and departments.

36. The ASSU should provide definite mechanisms for selecting student members of University committees in such a way that the opportunity to be considered for service is open to all and that adequate representation of various viewpoints is assured. As long as such mechanisms function, the selection of student members for committees of the Academic Council should be the exclusive responsibility of the ASSU. Similar principles should govern the selection of student members for school and department committees.

Structure for Undergraduate Education

At the present time there is no single administrative officer charged with responsibility for overseeing the academic aspects of undergraduate life at Stanford.[18] The bulk of undergraduate teaching is conducted by the faculty of the various departments of the School of Humanities and Sciences. The Schools of Earth Sciences and Engineering also conduct undergraduate degree programs through their various departments. Approximately 10 percent of the undergraduate student body is registered in the School of Engineering, less than 1 percent is registered in the School of Earth Sciences, and the rest are registered either in General Studies or the various departments of the School of Humanities and Sciences. The administrative officers who presently devote significant attention to aspects of undergraduate life include the Provost, the deans of the above-named schools, the Dean of Admissions, the Dean of Students, the Registrar, the Director of Overseas Campuses, the Director of General Studies, and the Director of the Freshman Seminar Program. With the possible exception of the last two of these officers, none has any substantive responsibility for undergraduate academic activities.

There are a number of faculty committees concerned with various aspects of undergraduate life. Those having to do with substantive aspects of undergraduate education are the Committee on General Studies and the Committee on Undergraduate Education. Academic advising for students who have not declared a major is under the direction of the Registrar. The Committee on General Studies deals with the curricular content of the General Studies program and (since January 1968) rules on student petitions for exemptions from General Studies requirements. It also supervises the senior colloquium program. The Committee on Undergraduate Education deals with nondepartmental curricular offerings, including freshman seminars and undergraduate special courses.

In 1964 the new post of Dean of Undergraduate Education was created. It has been vacant since the resignation of its initial holder in 1966. Although some considerable achievements took place during the 1964–66 period, a number of problems combined to make the experience something less than optimal. In our judgment, the principal difficulties, all of which are relevant for future planning, were as follows:

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[18] Stanford is almost unique among major private universities in this respect. Chicago, Columbia, Harvard, Princeton, and Yale all have such officers.

1. There was considerable ambiguity about the division of function between this officer and the Director of General Studies, mirrored in a corresponding ambiguity in the distribution of functions between the Committee on General Studies and the newly created Committee on Undergraduate Education.[19]

2. The Dean of Undergraduate Education had no real budgetary leverage, with the exception of one-time funds from the PACE program and funds devoted to the highly successful Freshman Seminar Program.

3. The dean was diverted from substantive academic concerns by his involvement in a wide variety of non-academic student problems, such as residences and student disciplinary procedures.

4. The dean came to the post as a senior administrative officer of the University without previous involvement in or identification with undergraduate education.

These considerations all yield valuable lessons for the future. They also counsel against the view that the 1964–66 experience demonstrates the undesirability of having an academic officer principally concerned with undergraduate education.

If the general thrust of the recommendations emanating from SES turns out to be largely followed, the functions that will need administrative leadership and coordination will differ fairly substantially from the present. General Studies requirements (or guidelines) will be far more relaxed and simpler to administer than they are at present. On the other hand, academic advising, particularly for students who have not selected a major, will become more important and will require a larger investment of both faculty and administrative effort. Curricular innovations will require considerable attention from faculty and administration. We have in mind such examples as interdisciplinary courses and majors, the freshman tutorials, and the general education college proposal in Report II, *Undergraduate Education*. Stanford needs what it has never had: a steady focus on its education of undergraduates, supporting and maintaining what is good, aiding in the renovation of what is inadequate, stimulating and assisting educational innovation. That focus requires unified faculty and administrative oversight: one committee and one dean.

Budgetary leverage and personal leadership will be required to sustain the enhanced attention to the education of undergraduates that is so clearly called for. There has to be an administrative "somebody" to exercise this leverage and leadership–a conclusion that requires a substantial change in our existing arrangements.

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[19] The statement announcing creation of the post is reproduced in Appendix 6.

We are agreed that there should be a unitary Committee on Undergraduate Studies and a single administrative officer, whom we propose to call the Dean of Undergraduate Studies, responsible for the functions referred to above. We are in disagreement about where in the administrative structure this dean should fit. Some of us think that he should be on the staff of the Dean of the School of Humanities and Sciences.[20] Others of us think he should report directly to the President and the Provost.[21] Whatever the formal Table of Organization shows, this dean should work closely with the Dean of Humanities and Sciences in at least two respects. He should play a role in the budgetary process[22] so as to ensure that the needs of undergraduate studies are given adequate recognition. He should participate in the appointments process, preferably as a member of the School's Committee on Appointments and Promotions. To facilitate interaction, he and his staff should be lodged in quarters as nearly adjacent as possible to the Humanities and Sciences office. He should also maintain liaison with the other schools that have undergraduate degree programs: Engineering and Earth Sciences. The Dean of Undergraduate Studies should become the University's prime advocate for the interests of undergraduate education in its academic or curricular aspect, with special emphasis on its development and renewal. The non-academic or extracurricular aspects of undergraduate life would remain the explicit responsibility of the Dean of Students.

The office of Director of General Studies should be abolished. The Director of Overseas Campuses, assuming that there continue to be both undergraduate and graduate facilities, should report directly to the Provost.[23] The Director of the Freshman Seminar Program (or the proposed Freshman

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[20] Messrs. Dawson, Heffner, Royden.

[21] Messrs. Bacchetti, Batkin, Good, Hayes, Packer, Rosenzweig.
If the position of Vice-President for Academic Affairs is established, as proposed in Recommendation 10, the Dean of Undergraduate Studies would, under the majority view, report to him.

[22] Mr. Heffner comments: "I doubt seriously the wisdom of creating a position of Undergraduate Dean with appreciable budgetary authority. Any vigorous incumbent will inevitably attempt to institute his personal ideals of educational reform made possible by his budgetary ability to purchase faculty time. Such is the prescription for faddism and failure. Certainly, however, each school with an undergraduate program should have a member of the dean's staff who acts as an advocate for improving undergraduate education. Student numbers alone argue persuasively for the creation of such a position in the School of Humanities and Sciences. The financing of the programs he advocates, though, should be considered in the context of other school and University priorities."

[23] See Report IX, *Study Abroad*.

Tutorial Program[24]) should report to the Dean of Undergraduate Studies and should have his functions generalized to include other freshman year programs. The office of Director of Advising should become a full-time post with that officer reporting directly to the Dean of Undergraduate Studies. In order to promote a closer liaison between undergraduate admissions and the undergraduate educational process, the Director of Admissions and the Director of Financial Aid should report to the Dean of Undergraduate Studies.

On the faculty side, there should be a corresponding unification of the committee structure. The essential feature is the elimination of the present overlap between General Studies and Undergraduate Education. There should be a single committee of the Senate called the Committee on Undergraduate Studies, employing subcommittees to deal with curriculum, advising, student petitions, etc.

It is easy to overstate the importance of administrative arrangements, especially in a report devoted to them. The prime responsibility for educating students rests with the faculty: more precisely, it rests with the departments, which are the first-line academic units of the University. The talents called for by the proposed post of Dean of Undergraduate Studies are not primarily managerial or bureaucratic. Rather, they include tact, educational sensitivity, and the ability to minimize resistance to change. Further, they require that the occupant of this position be a distinguished teacher of undergraduates.

In summary, we recommend that:

37. The University should officially recognize the need for enhanced and better focused faculty and administrative attention to the problems of undergraduate education.

38. The Academic Council Committees on Undergraduate Education and General Studies should be replaced by a single Committee on Undergraduate Studies charged with general responsibility for undergraduate academic matters. A majority of the faculty members on this committee should be from the School of Humanities and Sciences. Representation should also be given to faculty members from the School of Engineering and the graduate professional schools who are interested in undergraduate education.

39. A new administrative position, Dean of Undergraduate Studies, should be established to exercise continuing review of Stanford's education of undergraduates, to support and maintain what is good, to aid in the renovation of what is inadequate, and to stimulate and assist educational innovation.

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[24] See Report II, *Undergraduate Education.*

40. The Dean of Students should continue to exercise administrative supervision of extra-curricular aspects of student life, including residences and student services. He should maintain close contact with the Dean of Undergraduate Studies. The Director of Admissions should report to the Dean of Undergraduate Studies. The post of Director of General Studies should be abolished.

Structure for Graduate Education

At the present time and for the foreseeable future, graduate education is almost exclusively the concern of the individual schools and departments that offer graduate degree programs. There can be nothing remotely approaching a University-wide stance on graduate education comparable to that on undergraduate education. One can speak of the University's "undergraduate program" but it is a misnomer to speak of "*the* graduate program." This fact of academic life may change. Indeed, SES Report VII, *Graduate Education*, suggests lines of inquiry that might accelerate such change. For the present, however, graduate education is the area of the University's governance in which the principle of federalism should be given its widest scope.

Nonetheless, there are matters of University-wide concern that require administrative management and faculty oversight. One of the most important of these is the problem of limitations on enrollment. It is relatively easy to maintain control over undergraduate admissions and over the numbers enrolled in such professional degree programs as those offered in Law, Medicine, and Business. However, the Ph.D. programs that account for an increasing proportion of graduate education pose severe problems of coordination because of two factors: the decentralized admissions process and the fact that each student proceeds more or less at his own pace. The report of the Committee on Enrollment Policies in 1967 (annexed as Appendix 7), made a start at attacking this problem, but no definitive solution is in sight.

There are also serious conceptual and budgetary problems relating to financial aid to graduate students, an uneasy combination of training in research and teaching with payment for services rendered. Serious inequities exist and must be rectified. Beyond that, coherent University-wide policies need to be thought through, debated, and explicitly adopted.

Finally, there must be University-wide scrutiny of the creation, modification, and abolition of graduate degree programs. This scrutiny is required not simply as a measure of control but also as a means for promoting and encouraging the development of programs that appear meritorious but do not fall clearly within the purview of any one existing department. The role of intellectual broker needs to be followed in this situation.

It seems clear that the University needs an administrative officer charged with over-seeing graduate education in the aspects described above, and possibly in others as well. And it needs a faculty committee to whom he can turn for guidance on questions of policy falling within his jurisdiction. The University has such a dean and committee. We urge the continuance and clarification of their roles. We think, however, that the term "Graduate Division" is misleading, implying a spurious unity where there is in fact none. We believe that the range of concern of the dean and committee would be better reflected under the title "Graduate Studies."

We would suggest to the dean that his office give greater emphasis to looking after the personal needs of graduate students. The Dean of Students' concern is mainly with undergraduates. The professional schools all have people on their staffs who perform "dean of students" functions for their students. It is mainly the M.A. and Ph.D. programs in the School of Humanities and Sciences that lack a central point of contact for their students. It might be well for the Dean of Graduate Studies to add an Associate Dean for Student Affairs to his staff. In addition to service functions, such an officer might well serve as a kind of ombudsman for graduate students, a person who can deal with problems that are perceived as unsatisfactorily resolved or neglected at the departmental level.

In summary, we recommend that:

41. The planning and administration of graduate programs is primarily a matter for the schools and departments. It is in relation to graduate education that the principle of federalism in the University's government should be given its widest scope. However, there are matters of University-wide concern that require administrative management and faculty oversight. These include enrollment, financial aid, employment of teaching and research assistants, and the creation and abolition of degree programs.

42. Administrative management of the functions referred to above should be in the hands of a Dean of Graduate Studies. Faculty oversight should be exercised by a Committee on Graduate Studies.

43. The Dean should consider appointing an Associate Dean for Student Affairs.

Affiliated Entities

The existence within or closely related to the University of entities that do not offer programs of instruction and that, in varying degrees, are not subject to the system of governmental checks and balances that apply to schools and departments creates understandable unease. These entities may be highly valuable resources and may perform highly desirable functions, but the University community does not know that to be the case, in the same sense in which it knows it about its departments of instruction. It is therefore highly appropriate to review the relationship of these entities to the University and to inquire whether the terms on which the relationship exists ought to be altered. We have not ourselves been able to undertake that sizeable task, but we believe that it should be performed without delay. In that connection, we applaud the step taken by Acting President Glaser in October of 1968 to set up an *ad hoc* committee to review the relationship between the University and the Stanford Research Institute. We think the same kind of scrutiny should be undertaken with respect to other affiliated entities, most notably the Hoover Institution. We therefore recommend that:

44. The President should proceed systematically to constitute *ad hoc* committees to review the relationship between the University and those affiliated entities that are not departments of instruction, giving a high priority in that effort to the relationship between the University and the Hoover Institution.

Appendix 1 Stanford Chapter American Association of University Professors

Proposed Alterations in the Governance of the University

Preface

This set of resolutions is substantially the same as that submitted to the Stanford Chapter at the end of the summer of 1968 by its Committee on the Governance of the University. After discussing the Committee's recommendations, the Chapter voted on the resolutions by secret ballot (207 valid ballots were cast) and accepted all of them by a two-to-one majority or better, except for Resolutions 18 and 32, which carried by narrower margins.

The Chapter also voted on 27 resolutions regarding governance of the University, which were submitted by members but were not approved by the Committee on Governance. All of these failed except for Resolution 54 contained in this report.* The Committee willingly defers to the Chapter's judgment on this issue.

Introduction

We are dissatisfied with the style or manner of administration at Stanford. Hitherto the faculty and students have had insufficient information to discuss University policies effectively. Information that has been provided has come too little and too late. Our goal is for greater participation in setting University policy and not just ratifying it. Hence numerous recommendations ask for a greater quantity of timely information relevant to major decisions and urge increased faculty and student participation in the decision-making process. We do not recommend that the Trustees and the President relinquish or even share much of their *final* authority, but decisions should be made only after consultation and with full opportunity for expression of dissenting views.

Board of Trustees

Stanford's Board of Trustees has a long and distinguished record of service to the University. However, it is not wholly immune to the ills that beset all Boards of Trustees, in particular, a tendency to become isolated from some segments of the University community and, as a self-perpetuating body, to be narrow in its representational base. In addition, there is a strong historical tendency at Stanford for the Board of Trustees to insist on retention of the power of ultimate decision in all University business and to make delegation of power, particularly to faculty and student groups, tentative or uncertain. These tendencies have had unfortunate results and should be corrected.

At the present time, faculty and students can normally communicate with the Board of Trustees only through the President's office or the Provost, although there is a great deal of informal and unregulated communication between members of the Board and selected faculty members. In the interest of effective and balanced communication, we recommend that:

> 1. There should be direct and formal mechanisms for student, faculty, and staff communication with the Board of Trustees, such as Boards of Visitors appointed by the Board of Trustees or Standing Liaison Committees appointed by the Academic Senate, the ASSU, or other appropriate bodies.

Historically, membership on the Board of Trustees has been largely confined to successful and established representatives of the world of business and the professions, resident in California. It has rarely included people with professional experience in the academic aspects of University life. In view of the problems facing the University today, we recommend that:

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*The resolutions were defeated by margins of two-to-one or better, except for one resolution, which was only narrowly rejected. It reads as follows: Academic personnel (teachers and researchers) should be informed no later than May 31 of their salaries for the next academic year.

> 2. The membership of the Board of Trustees should be more representative—professionally, politically, geographically, and in age distribution—of the composition of contemporary American society.
>
> 3. While it would not be appropriate for Stanford faculty or students to be members of the Board of Trustees, because this would blur the delineation of roles in University governance, it is important that persons engaged in academic functions in other institutions be made members.

Despite the advisability of excluding Stanford faculty from actual membership on the Board of Trustees, there are areas of Board business in which regular participation by faculty could have healthy effects in allaying criticism of Board actions and improving the efficiency of its operations. In this belief, we recommend that:

> 4. Faculty members be appointed to serve on appropriate committees of the Board of Trustees, and particularly on the Committee on Investments and the Nominating Committee.

The key to improvement of relations between the Board of Trustees and other parts of the Universityy lies in the Board's willingness to recognize the need for the explicit delegation of powers. It is our belief that there is no need to change the legal position of the Board provided that it is responsive to this need. We therefore recommend that:

> 5. A committee be appointed of Trustees, administrators, faculty, and students to study the problem of delegation of power by the Board of Trustees and to make recommendations of specific areas in which explicit delegation is desirable.

Appointment of Administrative Officers

One of the major responsibilities of the Board of Trustees is the selection of the President of the University. We believe it appropriate that the President, to whom so much power is delegated by the Trustees, should be appointed by them. Without reducing their power or responsibility, we believe the Trustees should seek a broad basis of opinions and information during the search for a President. The Trustees previously used an alumni advisory group, and this year worked closely with a representative group of faculty. When, once again, the Trustees must search for a President, these groups as well as the students should be represented in the advisory process. The Trustees should determine the number of representatives from each group and the manner in which they should serve as an advisory body. The faculty, students, and alumni should appoint their representatives to the advisory group. We recommend that:

> 6. In the future selection of a President, the faculty, the Alumni Association, and the students should have representatives on an advisory group to aid the Trustees.

Advisory groups should also participate in the selection of the major administrative officers of the University. Referring the appointment to the Advisory Board after the search has been completed does not adequately take into account faculty viewpoints and knowledge. Faculty should participate at all stages of the search. Students should also participate in the selection process. The relative contributions of faculty and students should vary according to the office to be filled. The faculty and students should appoint their representatives to the advisory group. We recommend that:

> 7. There should be formal faculty and student representation, varying according to the office to be filled, in all stages of the selection and reappointment of major administrative officers in the Provost's Office, the President's Office, and the schools. Such officers include all Vice-Presidents, Vice-Provosts, Associate Provosts, and Deans of Schools, but shall not include officers performing purely staff functions.

Most department heads are viewed, and view themselves, as professional colleagues laden with incidental administrative tasks. A recent study for SES indicates, however, that a few department heads who have served for many years have come to exercise excessive administrative power. Stanford appoints department heads annually. This term is so short as to be meaningless, since reappointment is usually automatic. A one-year period is too short to provide either adequate opportunity for the incumbent or sufficient basis for evaluating his performance. We recommend that:

> 8. Department heads should be appointed after consultation with the entire faculty of the department. The term of the appointment should be specified and longer than one year.

Reappointment of a department head may often be appropriate. Any reappointment, however, should receive the approval of the majority of the department faculty. We believe that the University administration must have the right to appoint a new department head against united opposition of the faculty, thereby providing a mechanism for improvement of departments that are below standard. After completion of the usual term, one would usually assume that the reappointment of the department head would meet with the approval of most of his colleagues. In cases where the administration wishes to reappoint a department head against the wishes of the faculty, it should be permitted only with the approval of the Advisory Board. We recommend that:

> 9. Reappointment of department heads should require the approval by secret ballot of a majority of the department faculty. Exceptions should be approved by the Advisory Board.

Discussion of University Issues

It is desirable that there be maximum discussion and understanding of issues within the University community in order that many alternatives be considered during the development of policy, and that members of the University be well informed. Stanford's style of communication needs modification in the direction of greater openness. We recommend that:

> 10. Whenever possible, information on issues affecting members of the University should be made available to them before final decisions are made.
>
> 11. Forums for discussion by the whole University community on controversial issues (like ROTC, *in loco parentis*, the University's relation to the "military-industrial complex") should be held. Ground rules for discussion should guarantee a hearing for all relevant views. The AAUP intends to sponsor such forums until other sponsors appear.
>
> 12. A regular means should be established through which faculty, students, administrators, and Trustees could inquire about future policy intentions, aspects of present policy, and progress on prior recommendations. The President should consult with various groups in order to establish mechanisms to this end.
>
> 13. Some Academic Senate meetings should be open to the entire University community, but non-members should not be given the privilege of the floor.
>
> 14. Senators should develop mechanisms for communication with their faculty constituents.
>
> 15. There should be reciprocal exchange of summaries of actions between the Academic Senate and Board of Trustees.

Good discussion of issues requires opportunities to examine and contemplate various positions in some detail. This is done best through written statements. This campus is seriously deficient in publication of information, viewpoints, and debate on controversial issues. We recommend that:

> 16. An independently edited supplement to the *Daily* or a separate publication should be published on a regular basis, to contain articles by members of the University on issues before the community, or on issues that need to be raised. Furthermore, a means should be established

for rapid dissemination of important information in time of crisis. Publication of literary, political, and other journals by groups on campus should also be encouraged.

An understanding of the University requires knowledge of the patterns of resource allocation, the associated problem areas, and the directions chosen for future development. We recommend that:

17. The President or the Provost should present the rationale behind each year's allocation of funds to the Academic Council and entertain questions.

18. Deans should present to their faculties comparative summary data for fields and schools on salaries, budgets, and other aspects of resource allocation. (The committee was divided on this issue. People voting on both sides agreed there are serious difficulties in carrying out this recommendation.)

Participation in Decision Making

Faculty and students now participate more directly and more actively in policy-making groups. They serve on University committees and elected bodies. Whether such service is by election or appointment, the work of such groups is impeded if an individual is not free to use his judgment and must check directly with his constituency. We recommend that:

19. When participating on policy-making bodies, students and faculty should usually function as representatives, free to use their judgment on specific issues, rather than as instructed delegates.

There are times when a substantial number of faculty members or students desire to see a University policy reviewed or changed. Examples of such issues are ROTC, campus student residence rules, classified research. A mechanism is required to insure that appropriate attention is given in a timely way to these matters. We recommend that:

20. An initiative procedure should be established by the President so that, if a sizeable proportion of students or faculty or staff request a specific policy change, the relevant decision-making groups must take action on the issue within a specified period.

Resource allocation directly affects and influences all academic activities. Allocation occurs at a number of levels: total budget divided into academic and non-academic portions, academic portion divided among schools, school portion divided among departments. This apportionment is not construed by faculty in a narrow fiscal sense, but as a primary determinant of the scale of their programs, requiring that faculty goals, expertise, and values be considered in deciding on the allocation. The administration should retain final authority for resource allocation. We recommend that:

21. There should be much increased faculty participation in the resource-allocation process.

Long-range University planning has only tangentially included faculty know-how, experience, and aspirations. Priorities established over five to ten year periods become hard and fixed at the early stages of such planning. Mechanisms now exist by which faculty contributions to long-range thinking can be provided early in the process. We recommend that:

22. The long-range plans of the University should be presented by the Vice-President for Finance to the Academic Senate so that the Senate can participate in the setting of priorities.

Several hundred faculty and staff own homes on campus. They and their families are permanent residents of a community without any local self-government. Management of any issue is in the hands of the Business Office of the University without rights or privileges accruing to the campus resident save for legal and judicial processes. We recommend that:

23. Permanent campus residents should have as much local self-government as possible.

The Committee of 15 began as a bargaining and negotiating body on issues arising in the University community. To date almost all issues sent to the Committee of 15 have come from the student body. We recommend that:

> 24. The faculty and the administration should make more use of the Committee of 15 and other negotiating bodies.

Membership on the Committee of 15 is divided equally among students, faculty, and administration. The purposes of the Committee are not served well by this numerical egalitarianism. We support the recommendation of the Committee of 15 that:

> 25. The composition of the Committee of 15 should be changed to 6 students, 6 faculty, and 3 administrators.

Business office decisions and operations have not adequately reflected faculty influence. Faculty and student values and sentiment play no role in a number of issues that affect or influence the academic setting. The Business Office deals with a very wide range of issues including land development, police, fire, physical plant, student and faculty housing, etc., but these matters are resolved without advice or consent of faculty or students. This precludes participation in the formal setting of objectives and selection of alternative strategies. We recommend that:

> 26. A faculty group should be established by the Academic Senate to review and aid in formal long-range planning in the Business Office, to aid in operational decisions which impinge on the educational process, and to share responsibility of evaluating the performance of the Business Office. This faculty group should actively consult with students and staff.

As currently constituted, the Presidential standing committees advise on and often administer programs which are central to the educational purposes of the University. Faculty membership on these committees must not by design or inadvertence represent a single view or be composed of simply the acquiescent. We recommend that:

> 27. Faculty members of Presidential standing committees should be appointed by the President from a slate proposed by the Committee on Committees of the Academic Senate. This does not apply to *ad hoc* committees and does not affect the President's non-faculty appointments to any of his committees. Opportunities should be given for faculty members to indicate interest in particular committees.

At least two Academic Council committees have traditionally been chaired by the administrative officer of the activity under the purview of the committee. This practice makes it difficult for the committee to discharge impartially its advisory and review functions. We recommend that:

> 28. No administrative officer should be chairman of the Presidential or Academic Council committee which reviews his own operations.

One of the greatest causes of frustration is the ritualistic consultation of a committee after a decision has been formulated. This practice most often occurs when non-academic decisions are made. Certainly an administrative officer is not bound to accept a committee's advice in every decision, but such advice should be sought well in advance of the decision. Moreover, as the University increases in complexity, non-academic decisions, those involving accounting methods, buildings, traffic, campus housing, etc., have increasing impact not only upon the educational activities but also upon the general quality of university life. We resolve that:

> 29. Too often, committees are consulted after tentative decisions have been made. It is important that committees participate, not rubber-stamp.

In several parts of the University, decisions have important effects upon the total environment of the University, but there is little opportunity for the University community to affect these decisions. The most important of these areas are the Business Office, the Controller's Office, and the Development Office. We recommend that:

> 30. To insure adequate and timely expression of opinion, the President should invite the Academic Senate to nominate liaison committees to work with the Business, Controller's, and Development Offices and to keep the faculty, staff, and students apprised of contemplated decisions that could affect them.

Many junior faculty members believe they are denied a proper role in the academic affairs of their departments. There is particular disaffection among instructors, full-time lecturers, and acting assistant professors who are not currently members of the Academic Council. We recommend that:

> 31. The various schools should establish committees to review voting practices in their constituent departments in order to insure adequate participation of junior faculty members. The role of the research associate in departmental affairs should also be reviewed.
>
> 32. The Academic Council should be expanded to include other full-time teachers who are not candidates for a Stanford degree and who hold instructor, lecturer, or acting professorial ranks.

Student Role in University Governance

The following resolutions are meant to increase student participation in making policy within the University. A primary form for developing University policy is the committee. Final decisions, however, are often made by individuals or groups in the administration. Students should function both as members of University committees and as advisors to administrative organs and policy-making bodies.

Students already are voting members of Presidential committees, but they have served on Academic Council committees as non-voting consultants. On these committees, they participate in the discussion of policy on a wide range of issues (excluding personnel decisions and the awarding of individual degrees). We see no reason to deny students the vote. We recommend that:

> 33. Student members of Academic Council committees should be voting members.

The power of decision often does not rest in committees but in the bodies to which they report. If student views are to be adequately represented at the time the committee reports are acted upon, students should have an opportunity to be heard at this time. Student members of a committee that has been studying an issue are usually the students most qualified to speak on that issue. We therefore recommend that:

> 34. When committees, standing or *ad hoc*, report to the Academic Senate, all members including students should be allowed to attend and to speak.

It is important for the political well-being of the entire community that ASSU government be strengthened, so that there will be a firm base for student participation in University government. Student leaders are now actively working on this problem, and we do not deem it our proper function to offer advice on how greater representativeness and more sustained student interest in ASSU can be achieved. We wish to express our concern through the following resolution:

> 35. There is need to improve ASSU government. The problem of how to achieve this must be left in the hands of the students themselves.

The method of choosing student members for committees should be such that the students selected 1) represent reasonably well the whole spectrum of student opinion, 2) are individuals with interest and competence in the subject matter with which the committee will deal, and 3) are chosen by the students. The problem of representativeness is a particularly thorny one; student opinion is polarized into an active left group and a somewhat less active right group, with a large group of individuals who only rarely enter the arena of pressure and counter-pressure on the campus but who, we believe, deserve representation. In recent years, there have been instances in which minority blocs of student opinion appear to have been heavily over-represented among the student appointees to a committee. It would not be workable to have all members of all committees directly elected. We recommend that:

> 36. Student appointments to University committees should be controlled by ASSU. Student appointments should be made by a student Committee on Committees, which will seek information on the interests and competence of possible appointees. This committee should be selected by a procedure fostering representativeness, such as: a) election by the student body at large, or b) election by the body of student representatives. Neither individual committee members nor the members of the Committee on Committees should be appointed by the President of ASSU alone. Openings for committee appointments should be publicized–perhaps by notices in the *Daily*–so that interested students will have an opportunity to apply to the Committee on Committees and as wide as possible a range of student talent will be available for the committee to choose from.

In the recent history of appointment of students to committees, it has sometimes happened that student appointees have not attended meetings nor otherwise constructively participated in the committee's work. We recommend that:

> 37. The chairman of a committee shall have the right to ask the appointing body for one or more new members to replace previously appointed ones, if he deems it necessary.

In general, the numbers of faculty, students, and administrators to serve on a committee should be determined by the body to which it reports. We recommend that:

> 38. The Academic Senate, in consultation with ASSU, should decide the number of student members on Academic Council committees, subject to annual review.

Students have a great deal of information concerning the quality of the classroom teaching at Stanford. They also have valuable insights and suggestions about how that teaching might be improved. We do not want teaching to become a popularity contest, and clearly a number of important considerations other than student opinion should contribute to the evaluation of teaching and decisions about personnel actions and curriculum change. Nevertheless, student opinion should be consulted on more occasions and in a greater variety of ways than is true at present. We recommend that:

> 39. Student opinion on teaching should be taken into account by departments and schools at the time decisions on promotions, reappointments, and tenure are made. Students should not vote on promotions or appointments, but there must be a regularized procedure for soliciting student opinion on teaching.
>
> 40. Departments should get regular feedback from undergraduates and graduate students concerning curriculum and requirements.

Crisis Handling

The above resolutions are intended to open the channels for wider student and faculty participation in University governance and to permit orderly change in response to the needs of various groups when University procedures or institutions have become outmoded. If these resolutions are implemented, we expect some beneficial effect on student unrest to follow, but obviously no new set of procedures will fully meet the current situation.

So far as our committee has been able to discover, the most frequent dissatisfactions expressed by varying numbers of students are these: 1) the existing system of classroom work and examinations fosters an attitude of "gamesmanship" that is perceived to be incompatible with true education; 2) many faculty members are perceived to be uninterested in students; 3) there is inadequate student participation in University government; and 4) important aspects of University education are irrelevant to the students' primary interests and concerns. Undoubtedly, concern with issues not directly under the control of the University–such as the Viet Nam war and the urban crisis–feed into the sense of dissatisfaction with campus life. It is not our purpose here to judge whether these dissatisfactions are legitimate, but only to say that they exist among a substantial number of able students.

Expressions of dissatisfaction may involve issues of civil rights. All members of the University have the same civil rights on campus that they would have elsewhere. These rights include the rights of free speech, peaceable assembly, and freedom from unwarranted search and seizure. They include the right to hear speakers of their choice, regardless of any speaker's views, and this implies that meetings at which invited speakers appear must not be disrupted by dissenters.

The exercise and protection of civil rights must occur in the context of the University's continuing to carry on its primary educational functions, and the exercise of civil rights by one group must not occur in such a way as to violate the civil rights of other groups. For these reasons, there must be some regulation of the time and place of assembly, the use of loud speakers, etc., and some limitations on the amount of time that students, faculty, and administrators can be expected to spend in responding to grievances and negotiating change. It is imperative that ground rules shall be established quickly, by procedures in which students and faculty participate, and that once established, all constituencies of the University community shall stand behind them. We recommend that:

> 41. The rule-making procedures recommended by the Committee of 15 should be put into operation immediately.

In the past, there has been a tendency to regard the maximum penalty–suspension or expulsion from the University–as the only recourse for discipline. We believe that penalties for infractions should be more flexibly adjusted to individual circumstances. For example, fines or service with a social agency might be imposed for certain infractions, in place of suspension. We recommend that:

> 42. A graded system of penalties for students should be established.

Demonstrations occur when there are both a touch-off incident and a set of deeper grievances. The touch-off incident by itself cannot rally enough student support to generate a large protest. Thinking in these terms, we do not share the widely held "small minority" theory: that student protest is the work of a destructive, misguided small minority, and that the way to end student unrest is to separate the small minority from the well-behaved majority. The small minority cannot arouse a large number of students to action unless these students already feel aggrieved. The central problem for University government is then not the small minority who talk revolution but the larger group of disaffected students.

A distinction should be made between demonstrations which injure persons, involve significant property damage, or disrupt important University functions and those which do not. The latter should not be viewed as catastrophes requiring maximum response. Clearly the intensity of the response should vary with the nature and seriousness of the student actions.

With respect to the use of police, perhaps a lesson may be learned from the experience at other universities. After one campus disturbance, an SDS member said that the lesson the SDS had learned was to provoke the University as soon as possible into calling the police, since this was the best way to radicalize the campus. At the same time, a University administrator said that the lesson that the administration had learned was to call the police onto the campus at the earliest possible moment in order to nip student protest in the bud. The two "lessons" chart a collision course. We recommend that:

> 43. The University should seek a political, not a "military" solution to student protest. The police should be called only when it is unavoidable, and then solely to prevent personal injury,

√

> significant property damage, or disruption of important University functions, and not to suppress the protest itself. Wherever possible, the issue of the protest should be resolved through negotiation.

We cannot specify in advance what actions are to be taken. These are decisions which are determined by the events of the moment, and which require careful judgment at every stage.

During periods of crisis, it is essential that communication among students, faculty, and administration be kept open, and that dialogue among these groups take place. This will help to insure that administrative actions will be based on the fullest possible understanding of both student and faculty views, and that, once taken. such actions will have faculty support. Experience suggests that decisions must usually be made in too short a time to allow full faculty consultation. Nevertheless, decisions should lie with a group which hopefully would be collectively wiser in time of crisis than one person. The probability of wide support can be enhanced by the formation of a small representative faculty group well in advance of any crisis, whose members are participants in whatever decisions or responses are made. We recommend that:

> 44. The Academic Senate should appoint a standing committee which should be involved in the planning of responses, and in decisions concerning the application of responses to be made in a crisis situation, including selection of negotiation teams. It should be the responsibility of members of this committee to maintain a network of contacts with other faculty members and with students, and to work out an effective method for tapping student and faculty opinion during times of crisis.

Financial

An army travels on its stomach, a University on its checkbook. To gauge the thrust of University activity as between construction and academic activity, as between teaching and research, as among schools and departments, it is necessary to measure the fractions of available resources put into various alternative uses. Even to be informed as to what is going on in the University, it is essential to know how its money is being spent. This information is not currently published in sufficient detail. Tedium is preferable to ignorance. To influence the course of future action, it is necessary to know what expenditures are planned in sufficient time to react critically and to offer alternative plans.

To measure the resources available, it is essential that there be full and detailed information on all sources of funds, current and anticipated. Adequate financial reports must also reflect flows of funds into and out of all reserve accounts. We recommend that:

> 45. There should be more detailed reporting to the University public of all financial manifestations of current University activity and of plans and commitments for future expenditures.

The present method of University financial planning for the various programs, schools, and departments involves the implicit assumption that the dollar budget ("budget base") of the administrative unit may not be reduced. Thus resource allocation becomes a matter of deciding how increments in expenditure are to be shared; obviously this hampers those activities that are in need of rapid expansion. We recommend that:

> 46. There should be periodic reexamination of the budget base of all programs and administrative units, and reductions should be made where necessary.

The year by year increase in the University's planned expenditures will never be precisely equal to the growth in University income. Moreover unanticipated increases in prices or the appearance of unforeseen opportunities for expansion of activities may suggest temporary spurts of actual expenditures above what had been planned. In such cases the Trustees should give careful consideration to the possibility of running a temporary deficit.

We recognize the necessity of maintaining equality between income and expenditure over any appreciable period of time, but suggest that this equality need not serve as a shackle upon the University's annual budget. This suggestion gains support from the fact that the projection of annual revenue to which annual expenditure planning is tied is admittedly subject to sizeable errors of forecast. We recommend that:

47. The Trustees should, when necessary, incur temporary deficits.

Protection of Individuals

University administrators regularly receive information, solicited and otherwise, derogatory to individual members of the community, faculty, staff, and students. Much of this material is beneath consideration and is discarded. However, some items considered of doubtful validity are nonetheless retained in personnel files as "information" but without informing the individual of the item so that he might enter a defense if he sees fit. We consider this administrative practice to be wrong. We recommend that:

48. The University administration has a moral and perhaps a legal obligation to inform any member of the University community of any negative, non-academic information from any source, however obtained, if that information is retained in University personnel files.

Last spring this AAUP chapter appointed an Ombudsman Board to hear complaints from any member of the community against the behavior of any person or group in the University. Where appropriate, the Board will assist the aggrieved individual in seeking redress. We recommend that:

49. The University should formally adopt the Ombudsman Board as a University institution, with the President, Academic Senate, ASSU, and organizations of staff employees appointing Board members, instead of the AAUP.

External Implications

The primary activity of a University is to create and disseminate knowledge. As a locus for disinterested study, a Univ[illegible] appropriately minimizes its commitments to particular political, social, legal, or economic [illegible]. Ideological commitments by a University discourage investigations that might tend to [illegible]uch commitments. But to minimize commitments is not to avoid them. Stanford University's policies have major social consequences, and we urge that Stanford's positions be formulated with full awareness of these consequences.

One way in which the University has a major impact on society is by training persons who will play important leadership roles in that society. As the society's needs and resources shift, it is important that Stanford evaluate alternate kinds of training for new types of leaders. For example, should Stanford be concerned about training in the areas of urban affairs, international relations, and community organization? The department based on existing disciplinary boundaries is not the appropriate group to consider such programs. We recommend that:

50. The Committee on Undergraduate Education and the Committee on the Graduate Division should jointly consider establishment of new training programs.

Stanford University, as a major business organization, hires a large number of people, lets large contracts, makes major investments, and is a major land owner and developer. It has a significant impact on the entire Midpeninsula. There is no way that Stanford can avoid decisions among competing values. No decision is itself a decision.

Until very recently Stanford's record in this area has been poor. It has often failed to take into account the results of its economic decisions upon its employees, its neighbors, and nearby minority groups. In its own hiring practices with respect to minority groups, the University has recently taken an admirable step forward; we can only bemoan the fact that it was not as a leader but as a late entry into this field. The City of Palo Alto has recently set forth certain conditions on hiring of minority group members by local contractors. Stanford must make a decision either to use similar standards in letting contracts or not to reinforce Palo Alto's pressure. We recommend that:

> 51. The advisory committee established to work with the Business Office should take as part of its task the consideration of ways in which Stanford's business decisions can contribute to the well-being of the entire community and serve as a model for other organizations.

We note that significant criticisms or suggestions are often made by persons outside the University and are not given due consideration. For example, the land development decisions of the University have a significant impact upon the entire Midpeninsula. Its residential developments have been almost completely designed for high-income groups, perpetuating *de facto* segregation. Recently the University has been accused of negligence in failing to develop model communities of mixed racial and economic backgrounds. We do not mean to suggest that Stanford's financial interests should be neglected but wish rather to propose that other values should be taken into account before making a decision. We recommend that:

> 52. The advisory committee to the Business Office or the Ombudsman Board should route complaints or objections to the appropriate decision-making bodies and see that they are given appropriate consideration.

The issue of Stanford's relation to governmental agencies is a very serious problem in the minds of many members of the University. The committee has not been able to arrive at any conclusion on the matter, given the bewildering complexity of the problem and the paucity of information readily accessible to us. We believe that this problem needs very careful, informed, and dispassionate discussion, and that actions should be based on the fullest possible information. We recommend that:

> 53. The University Committee on Research Policy should take as part of its charge the publication of a major report on Stanford's relation to government agencies. Individuals should be encouraged to present their views in hearings before the Committee. A University-wide forum should be held to discuss it.

Additional Resolution

> 54. The name of the position now called "executive head of the department" should be changed to "chairman of the department."

Respectfully submitted,
J. Merrill Carlsmith
Elizabeth G. Cohen
Gordon A. Craig
Sanford M. Dornbusch (*ex officio*)
Heinz Eulau
Henry B. Eyring
Edwin M. Good (*Vice-Chairman*)
Hubert Heffner
Halsted R. Holman
Oliver W. Holmes
Victor Hori
Stephen J. Kline
Eleanor E. Maccoby
Melvin W. Reder (*Chairman*)
Herbert Solomon
Wilfred Stone

October 3, 1968

Appendix 2

By-Laws of the Board of Trustees
of
The Leland Stanford Junior University

ARTICLE 1

Trustees

1.01. *Corporate Name.* The Trustees of the University, in their collective or corporate capacity, shall be known and designated as "The Board of Trustees of the Leland Stanford Junior University," which will be referred to in these By-Laws for brevity as "the Board."

1.02. *Number–Terms.* The number of Trustees is fixed at twenty-three. Twenty Trustees shall hold the position of Regular Trustee, and three shall hold the position of Alumni Trustee. The full term of office of a regular Trustee shall be ten years, and the full term of office of an Alumni Trustee shall be five years. Unless otherwise herein expressly stated, the term "Trustee" shall be deemed to refer to and include both a Regular Trustee and an Alumni Trustee. In the event any Trustee, for any reason, does not complete the full term to which he had been elected, a successor shall be elected to serve during the balance of the unexpired term.

1.03. *Vacancies.* Except as provided in section 1.05, vacancies in the Board shall be filled by the remaining Trustees by ballot at any meeting of which due notice shall be given stating the vacancy to be filled. An affirmative vote by a majority of Trustees in being, but not less than eight, shall fill any Board vacancy.

1.04. *Nominations.* Except as provided in section 1.05, nominations to fill vacancies in the Board shall be made by the Committee on Nominations at a Board meeting preceding the meeting at which the election is to be held. Any Trustee may also tender a written nomination to the Secretary at least twenty days prior to any meeting at which an election has been set. Notice of all nominations must be mailed to each Trustee at least ten days before the meeting at which the nomination is acted upon.

1.05. *Vacancies–Emergency Procedure.* If at any time the number of Trustees in being and able to act shall fall below fourteen, vacancies in the Board may then be filled by the affirmative vote of a majority of the Trustees so remaining and able to act. The vote may be cast in person at a meeting or by written ballot delivered to the office of the Board or to the Secretary or an Assistant Secretary of the Board. No special nomination procedure shall be required but to the extent practicable vacancies shall be filled from the list of persons maintained by the Committee on Nominations as elsewhere provided. The election of Trustees pursuant to this emergency provision shall be subject to subsequent confirmation by a court of competent jurisdiction and the term of any Trustee so elected shall forthwith terminate if confirmation be refused by the court.

1.06. *Service Without Compensation.* The Trustees shall serve without compensation.

1.07. *Resignation.* Any Trustee may in writing delivered to the Board resign his office as Trustee.

1.08. *Retirement Policy.* In furtherance of the best interest of the University, it is declared to be the policy of the Board that the service of any Trustee shall not continue after such Trustee reaches the age of seventy years. The Committee on Nominations shall give consideration to the policy so declared in presenting nominations for the office of Trustee.

1.09. *Trustee Emeritus.* Any Trustee upon retirement from service may be granted, by action of the Board, the status of Trustee Emeritus.

1.10. *Powers of Trustee Emeritus.* A Trustee Emeritus shall be entitled to attend all meetings of committees or of the Board and to vote at committee meetings, but he shall not be entitled to vote at Board meetings. A Trustee Emeritus shall be eligible to serve on committees and to hold any office of the Board, except the office of President or Vice President.

ARTICLE 2

Officers of the Board

2.01. *Election–Terms–Vacancies.* The officers of the Board shall consist of a President, one or more Vice Presidents, a Secretary, one or more Assistant Secretaries, a Treasurer, and one or more Assistant Treasurers who shall be elected by the Board at its Annual Meeting, and each shall hold office for one year and until his successor's term of office commences. Vacancies for any unexpired term may be filled at any regular meeting of the Board, or at any special meeting called for that purpose.

2.02. *Commencement of Terms.* The term of office of each officer of the Board shall commence on the first day of July following his election if elected at the Annual Meeting, otherwise the term shall commence immediately upon his election or appointment.

2.03. *Limitation on Tenure.* No Trustee shall be elected to the office of President for more than five consecutive terms in addition to any unexpired term to which he is initially elected. Throughout these By-Laws, the term "President," unless otherwise modified, shall refer to the President of the Board.

2.04. *Eligibility.* The President and each Vice President must be a Trustee, but the other officers need not be Trustees.

2.05. *President.*

(a) The President shall preside over the meetings of the Board in accordance with these By-Laws.

(b) The President shall have the power to execute on behalf of the Board all instruments in writing which have been authorized by the Board and shall exercise such other powers as may be conferred upon him from time to time by the Board.

2.06. *Vice Presidents.* If the President is absent or unable to act, a Vice President shall exercise his powers and perform his duties in such order of priority of succession as shall be determined by the Board from time to time.

2.07. *Secretary.*

(a) The Secretary shall have the power to perform such duties as generally pertain to his office and as may be conferred upon him from time to time by the Board.

(b) The Secretary shall notify the Trustees and the Trustees Emeriti of the time and place of all meetings of the Board, in accordance with these By-Laws, and shall keep a full and fair record of its proceedings. He shall furnish to every Trustee and Trustee Emeritus prior to each meeting of the Board a copy of the minutes of the preceding meeting.

(c) The Secretary when so requested by any committee chairman shall give notice of the time and place of committee meetings, and if desired by the committee or its chairman, he or his assistant shall attend said meetings and keep a record thereof.

(d) The Secretary shall transcribe and distribute the minutes of all meetings of standing committees to all Trustees and Trustees Emeriti as soon as possible after each meeting. At the next succeeding meeting of the Board each recommendation contained in said minutes shall be considered and acted upon, without reading, unless such reading is requested.

(e) The Secretary shall be responsible for the custody and safekeeping of the seal. The Secretary and all Assistant Secretaries shall have power to affix the seal to such documents as the Board may from time to time designate. The Secretary may designate an Assistant Secretary custodian of a duplicate seal.

(f) The Secretary shall keep at the office of the Board a certified copy of these By-Laws as amended from time to time.

2.08. *Treasurer.*

(a) The Treasurer shall be responsible for advising the Board concerning the methods used in the receipt, custody, management, and disbursement of all moneys and securities of the University. Such methods shall include provision for retention of physical custody of securities by a responsible financial institution selected by the Board, which custody shall be subject to audit or verification by an independent Certified Public Accountant as a part of the annual audit of the financial affairs of the University.

(b) The Treasurer shall supervise on behalf of the Board the execution of the decisions of the Board as to receipt, purchase, sale, or other disposition of the moneys and securities of the University.

(c) The Treasurer may delegate, with the consent of the Board, any of his duties to an Assistant Treasurer, or to any officer or employee of the Board or of the University.

(d) The Treasurer shall arrange and submit to the Board for its approval bonding coverage adequate to assure that there is a good and sufficient bond for the faithful performance of duties by the Treasurer, the Assistant Treasurers, and all officers and employees of the Board and of the University who may be charged with any fiscal or financial responsibilities on behalf of the Board or the University.

2.09. *Elected Assistants.* During the absence or inability to act of the Secretary or the Treasurer, an elected Assistant Secretary or elected Assistant Treasurer, respectively, shall act in his place.

2.10. *Appointed Assistants.* In addition to such Assistant Secretaries and Assistant Treasurers as may be elected as provided in these By-Laws, the Board may appoint such additional persons to those offices as it may deem appropriate, such appointed persons to serve at the pleasure of the Board and to have only such powers as may be prescribed by the Board. Such appointed assistants shall have authority to exercise such prescribed powers at all times regardless of the availability of the Secretary or Treasurer.

ARTICLE 3

Meetings of the Board

3.01. *Regular Meetings.* Unless otherwise determined by the Board, regular meetings shall be held at forty-five minutes past one o'clock p.m. on the third Thursday of each month except July, August, and December, and except that the January meeting shall be held at 12:00 noon on the third Wednesday of January. Unless otherwise determined by the Board, regular meetings shall be held at the office of the Board, 600 California Street, San Francisco, California, except that the January, March, June, and October meetings shall, unless otherwise determined by the Board, be held on campus at a place to be designated in the notice of meeting. The Annual Meeting shall be held at the time and place of the regular June meeting.

3.02. *Special Meetings.* Special meetings may be called by the President, and must be so called at the written request of five Trustees. Special meetings shall be held at such time and place as shall be specified in the notice of meeting.

3.03. *Notice.* Due notice of all meetings of the Board shall be sent by the Secretary to each Trustee and Trustee Emeritus by mail, telegraph, or telephone in time for persons present in California to attend the meeting. The sending of a notice of any meeting by mail not less than ninety-six hours before, or by telegram not less than twenty-four hours before, such meeting addressed to each Trustee and Trustee Emeritus at his residence or place of business or actual notice by telephone to such person not less than twenty-four hours before the meeting, shall be sufficient notice of any meeting. The recital by the Secretary in the minutes that due notice was given shall be sufficient evidence of the fact.

3.04. *Quorum.* Except as provided in section 1.05, a majority of all Trustees in being, but not less than eight, shall constitute a quorum of the Board, and the concurrence of a quorum shall be necessary for the transaction of business.

3.05. *Invitation to Meetings.* The President of the University shall be invited to be present at all regular and special meetings of the Board and its committees, unless otherwise determined by a majority of the voting members present at such meeting. If he is not present at any meeting, he shall be advised of actions taken thereat.

ARTICLE 4

Committees

4.01. *Standing Committees.* The regular standing committees of the Board shall be the Committees on

(a) Finance
(b) Investments
(c) Academic Affairs
(d) Buildings and Grounds
(e) Planning and Development
(f) Land Development

The Committees on Academic Affairs and Finance shall, unless otherwise directed by the committee chairman, meet prior to each regular meeting of the Board except the January meeting. The Committee on Buildings and Grounds and the Committee on Land Development shall meet four times each year, unless otherwise directed by the committee chairman. Each of the other committees shall meet at the call of its chairman. Permanent minutes of all meetings shall be kept and shall be open for inspection to all Trustees and Trustees Emeriti.

4.02. *Special Committees.* The special committees of the Board shall be the Committees on

(a) Hoover Institution
(b) Stanford Research Institute
(c) Rules
(d) Nominations
(e) Stanford Linear Accelerator Center

each of which shall meet at the call of its chairman.

4.03. *Meetings on Request.* The chairman of any committee shall call a meeting upon receipt of request by any two members of the committee.

4.04. *Number and Appointment of Members.* Except as otherwise provided herein, each committee shall consist of a chairman, two or more Trustee members and such Trustee Emeritus members as may be deemed advisable, all of whom shall be appointed by the President and confirmed by the Board.

4.05. *Terms.* Except as otherwise provided herein, the terms of office of the chairman and other members of all committees shall run from the date specified in their respective appointment and confirmation until the first day of July following their confirmation and until their successors shall have been appointed and confirmed.

4.06. *Quorum.* Unless otherwise provided, three members of any Committee shall constitute a quorum, except that two members shall constitute a quorum of any committee consisting of only three members.

4.07. *Committee on Finance.*

(a) This Committee shall consist of a Chairman, a Vice Chairman for Long Range Financial Plans, the Chairmen of the Committees on Investments, Academic Affairs, Buildings and Grounds, Planning and Development, and Land Development, the Treasurer and no fewer than two additional members appointed by the President and confirmed by the Board.

(b) Five members of the Committee shall constitute a quorum.

(c) This Committee shall have supervision of the budgets and all other matters relating to the fiscal and general business management of the University with the exception of those matters delegated by the Board to other committees.

(d) The Committee shall receive the annual report of the independent auditor and submit it to the Board with any recommendations for action

4.08. *Committee on Investments.*

(a) This Committee shall consist of a Chairman and no fewer than two members and the Treasurer who shall be an *ex officio* member.

(b) Two members shall constitute a quorum.

(c) The Committee shall formulate and submit to the Board for its approval the general policies which shall be followed in the management of the trust endowment and the other investment assets of the University. Within the framework of the policies so approved, the Committee shall have general supervision of the investment of the trust endowment and other assets of the University held primarily for income-producing purposes, except such land developments as may have been placed under the supervision of some other committee by this Board; and as to such land developments this Committee shall make recommendations only as to the desirability from an investment standpoint of using University assets for the purpose by the other committee.

(d) The approval of two members of the Committee shall be required for the acquisition or disposition of any investment, subject to such limitations as may be included in the general policies approved by the Board.

(e) The Committee shall have a secretary appointed by the Board upon recommendation of the Committee who shall provide investment data and other services as needed by the Committee. He may be appointed by the Board an Assistant Treasurer to execute decisions by the Committee to buy and sell securities.

(f) A record of all significant investment transactions occurring prior to the first of the month in which the meeting is held and not previously reported to the Board shall be submitted to the Board at each meeting and not less than three reports setting forth the investment assets shall be submitted to the Board during each fiscal year.

4.09. *Committee on Academic Affairs.*

(a) This Committee shall make recommendations to the Board on all matters concerned with the administration of academic affairs.

(b) The Committee shall also recommend policies to the Board concerning student affairs and athletics.

4.10. *Committee on Buildings and Grounds.*

(a) This Committee shall have general supervision of the construction, maintenance and repair of the buildings, grounds, and utilities of the academic campus of the University.

(b) The Committee shall develop, from time to time, suitable plans for extension and improvements of existing structures, roads and utilities, and for the selection of the locations for, and the erection of, new structures, roads, and utilities.

4.11. *Committee on Planning and Development.*

(a) The Committee shall have general supervision of the procurement of gifts and bequests to the University.

(b) The Committee shall study and develop plans for increasing the financial resources of the University through gifts and bequests.

4.12. *Committee on Land Development.*

(a) This Committee shall consist of not less than five members, including at least one member from the Committee on Investments.

(b) The Committee shall supervise the planning for and general development of Stanford lands, exclusive of the land set aside for academic campus, in a manner consistent with the general policies of the Board as established from time to time.

4.13. *Committee on The Hoover Institution.*

(a) This Committee shall consist of not less than five members.

(b) The Committee shall have general supervision of all matters directly relating to The Hoover Institution.

4.14. *Committee on Stanford Research Institute.* This Committee shall have general supervision of all matters concerned with relationships between the Trustees, the University, and Stanford Research Institute.

4.15. *Committee on Rules.* This Committee shall have general supervision of all matters arising under the By-Laws and those concerning Rules of Order, and shall advise the President and the Board with respect to all questions connected therewith.

4.16. *Committee on Nominations.*

(a) This Committee shall consist of a chairman and five other members. Other than appointments to fill unexpired terms, committee membership appointments shall be made for three-year terms, staggered where possible.

(b) The Committee shall submit to the Board, at the meeting prior to the Annual Meeting, nominations for officers for the ensuing year. Additional nominations may be made by any Trustee at the meeting prior to the Annual Meeting.

(c) The Committee shall maintain a list of persons who are deemed to possess the necessary qualifications to serve as Trustees and shall make nominations to the Board as vacancies occur. The Committee shall at all times welcome suggestions of names to be considered for inclusion in such list from any individual or group connected with or interested in the University.

4.17. *Committee on Stanford Linear Accelerator Center.* This Committee shall advise and assist University officers in relation to the operations of the Stanford Linear Accelerator Center.

ARTICLE 5

Officers of the University

5.01. *President of the University.*

(a) The President of the University shall be appointed or removed only by the affirmative vote of not fewer than twelve Trustees. In addition to his duties as set forth in the Founding Grant, he shall be responsible for the management of the University and all its departments, including the operation of the physical plant and the administration of the University's business activities.

(b) All references to the term "President" in this section 5.01. shall refer to the President of the University.

(c) He shall make an annual report to the Board on the operation and condition of the University. He shall report to the Board at each regular meeting on problems and progress of the University, and he shall make recommendations for action.

(d) To assist in the performance of his duties, the President, with the approval of the Board, shall appoint and prescribe the powers and duties of the following officers: (1) a Vice President and Provost, (2) a Vice President for Finance, (3) a Vice President for Business Affairs, and (4) a Vice President for Medical Affairs. The President, with the approval of the Board, may appoint and prescribe the powers and duties of other officers and employees as he may deem proper.

(e) In the absence or inability to act of the President, the Vice President and Provost shall be Acting President and shall perform the duties of the President. If both the President and the Vice President and Provost are to be absent or unable to act, the President may appoint an Acting President to perform the duties of the President during their absence or inability to act, subject to confirmation by the Board. If there be no one holding the office of President, the Board shall appoint an Acting President to perform the duties of the President for such period of time as the Board may determine.

5.02. *Chancellor of the University.* The Board may appoint a Chancellor of the University who shall perform such advisory, consultative and other duties as may from time to time be requested of him by the Board.

ARTICLE 6

Financial Management

6.01. *Budgets and Expenditures.*

(a) The President of the University, in conformance with general University objectives approved by the Board, shall be responsible for preparation of the annual University Operating Budget and other annual budgets herein specified. He shall submit these budgets to the Board for review and subsequent action. He shall submit periodic reports to the Board on the status of plans and projections basic to preparation of budgets for succeeding years.

(b) The Committee on Finance shall report to the Board its recommendations in regard to the Operating Budget at the March meeting, unless otherwise provided by the Board.

(c) The President of the University may recommend adjustments to the Operating Budget subsequent to its adoption. These adjustments shall be presented for Board action through the Committee on Finance, except as otherwise provided herein.

(d) Annual budgets shall be prepared for operations of auxiliary activities not reflected in the Operating Budget of the University and shall be submitted to the Board not less than sixty days prior to the commencement of the fiscal year to which the budget relates.

(e) The President of the University may authorize year-end unexpended balances in any budget to be carried forward for expenditure in succeeding years, in accordance with general policies approved by the Board. Budget balances being carried forward shall be reported to the Board at its November meeting. To cover these balances, the President may authorize appropriate reservations of unrestricted fund balances. He may also authorize and subsequently report to the Board the establishment of such other valuation and contingency reserves as are needed to properly reflect the financial condition of the University.

(f) The President of the University shall be authorized to make adjustments to the budgets which do not constitute changes in policies reflected in the approved budget as follows:

(1) Transfers of amounts from budgeted reserves or contingency funds in conformance with the purpose of the provision.

(2) Offsets of related income and expenditures.

(3) Adjustments which do not increase the total of an approved budget more than a percentage prescribed by the Board. All adjustments shall be reported to the Board through the Committee on Finance at the next regular Board meeting.

(g) The President of the University shall submit to the Board through the Committee on Finance at each regular meeting except the January meeting statements showing the condition of the unrestricted funds and summarizing projected income and expenditures for the year.

(h) Final action by the Board in adopting a budget or approving a budget revision shall be considered authorization for expenditure of such sums as are set forth in the approved budget.

(i) The President of the University shall be authorized to approve the use of unrestricted funds for the purchase of General Division and Plant Division Assets within an amount prescribed by the Board, said assets to be depreciated over their estimated useful life. Request for items exceeding this stipulated amount shall be submitted to the Board for prior approval. Such purchases shall be reported to the Board annually.

6.02. *Annual Financial Report.* The University shall annually publish a financial report and a copy thereof shall be forwarded each year to the Governor of the state of California.

6.03. *Fiscal Year.* The commencement of the fiscal year of the University shall be September 1 of each year.

6.04 *Annual Audit.* The Board shall select an independent Certified Public Accountant to make and submit to the Board an annual audit of the financial affairs of the University.

6.05. *Restriction on Authority.* No agent, officer, employee, or other person shall make any contract, agreement, promise, or undertaking in the name of or on behalf of Stanford University, except pursuant to authority contained in these By-Laws or otherwise granted by the Board.

ARTICLE 7

Amendment of By-Laws--Rules of Order

7.01. *Amendments.* These By-Laws may be amended at any regular meeting by the affirmative vote of twelve Trustees, notice of the proposed amendments having been given at the preceding regular meeting.

7.02 *Order of Business.* The order of business shall be at the discretion of the President unless otherwise specified by the Board.

7.03. *Rules of Order.* In the determination of all questions of parliamentary usage, the decision of the presiding officer shall be based upon Robert's Rules of Order.

October 17, 1968

Appendix 3 Leadership Development Program in Higher Education

Synopsis

American colleges and universities are faced with a critical shortage of able persons who are qualified to fill the demanding positions of leadership within these institutions. Stanford University should respond to this need by promoting the development of leadership generalists through an active Leadership Development Program in Higher Education. Truly able young people should be selected and rotated at two- to three-year intervals through a series of responsible positions that would provide them with administrative experience in academic affairs, student services, business and finance, and general university operations, as well as significant contact with all of the constituencies involved in higher education. Once the program is underway, it should be supported with adequate research and with educational activities for both participants and other members of the University community. The central phase of the program can easily be supported by the existing University budget. The education and research phases will require some foundation or governmental assistance.

Recent events on college campuses throughout the nation are providing ample evidence of the growing need for more dynamic and creative leadership in our institutions of higher education. The boundaries of the traditional constituencies of faculty, administration, and students are breaking down. The administrative structures within each of these constituencies are proving themselves inadequate to the tasks demanded by change and growth. There is a dramatic need for men and women who are able to provide effective general leadership within the university community. Yet, our present employment policies and educational programs are not attractive to persons with the potential to fill these roles.

I. The Leadership Generalist.

The modern university needs the leadership of persons who, while working within administrative structures, are able to project their insights and experiences beyond the strict confines of those structures and are able to guide an ordered evolution in the management of institutions of higher learning. For example, the admissions staff occupies positions that are crucial to the orientation and growth of the university. Yet all too often, the admissions officer has been educated and trained within an admissions career structure that provided him with technical competence but a limited understanding of the dynamics of the community for which he recruits. In such a situation, the teaching faculty member is often ill prepared to be of much assistance. He, too, has developed within the narrow structure of his discipline; even if he has come to understand the dynamics of the broader university community, he usually lacks the exposure to the details of administration that would allow him to contribute most effectively to the admissions process. The staff member in the business office likewise has been trained and educated within the confines of that particular environment. It is reasonable to expect that he may have difficulty establishing effective communication with faculty members and students.

If higher education is to develop the necessary flexibility within its leadership personnel, it needs to attract and retain persons with the intellectual capacity and orientation to fill the role of the generalist. Universities must support such personnel with educational programs of sufficient timeliness and vitality to allow these persons to maintain their own relevance to the demands of the modern campus. These persons must be encouraged to develop an orientation to higher education and to the total university that will transcend their traditional allegiance to area specialties.

The truly capable young person whom the universities need to attract is looking for vitality and variety in the challenges that he will face. He has a wide range of opportunities already open to him in business, government, and the professions. Of those opportunities available in higher education, most are limited to narrow, specific fields such as admissions, business, or fund raising. If the capable young person is sufficiently motivated to seek and accept a position in one of these fields, his opportunity for new challenge and new growth is often limited to the specific field of interest in which he started. Often, he will perform in a creative and highly credible manner for a few years and then stagnate.

During the initial lower level of employment opportunities, it is difficult to move horizontally into new fields in response to opportunities and new challenges. Certainly, any such horizontal move runs the high risk of retarding advancement toward increased responsibility and rewards. Business and government have responded to the needs and desires of these particularly capable people by creating management development programs to provide them with changing challenges and opportunities, and by exposing them to the broad range of leadership and responsibility in their given fields of endeavor. Business and government have recognized the potential contributions of the leadership generalist. Higher education has not. It should.

II. The Proposal.

Stanford University should respond to this problem area by establishing a pilot program to attract and develop leadership generalists in higher education. The program can be carried on within existing organizational structures and budgets.

Stanford should undertake this program by identifying a set of leadership positions in each of four general fields of administration. Positions should be identified at varied levels within each of these fields. As able young persons are identified or recruited for participation in the program, they should be assigned to these posts and then rotated from one post to another at an average interval of every two to three years. This should be accomplished in a manner designed to provide them with experience in at least three of the four fields and with all constituencies concerned with higher education. The experience should be gained at a steadily increasing level of responsiblity. Well tailored to the needs and interests of the individual participants, the periodic shifts would provide each person with concrete experience in a variety of fields, as well as some assurance of career stability and upward mobility.

Once underway, the leadership experience phase of the program will need to be supported by a creative program of seminars, classes, degree programs, and research if it is to be particularly effective. Preliminary proposals to meet these needs are attached as Addenda A and B. Portions of these proposals are contingent upon financial support from outside the University. The Bureau of Research in the U.S. Office of Education has expressed interest in considering an application for such support.

A. *Administrative Fields to be Involved.* The leadership positions to be occupied by the participants of the program should be scattered throughout the entire range of University activities. For the sake of initial clarity, it would be helpful to divide these positions into the following four fields: Academic Administration, Student Services, Business and Finance, and General Administration. See Addendum C for a chart of possible positions in these fields.

B. *Constituencies to be Covered.* In selecting a pattern of positions for an individual participant in the program, care should be given to insuring that he will eventually have working contact with each of the following constituencies involved in higher education: alumni, business, faculty, public, staff, students, and Board of Trustees.

A single work position might involve effective contact with more than one constituency. A participant might always occupy a post that involves meaningful contact with students even though the nature of his work changes along with his field of primary responsibility. The important thing is that by the time a participant has completed his involvement with the program, he should have an effective contact with each of the constituencies as well as at least three of the four major administrative fields.

C. *The Levels of Administrative Responsibility.* As the participants in the program move laterally from one position to another in order to acquire breadth of experience and exposure, they need the opportunity to assume positions of increasing responsibility. Even though many participants would not be involved in the program for a sufficient length of time to move through all levels, and many would hold more than one position within each level, it is important that opportunities be available in each of the following areas:

1. *Advanced-level responsibilities.* These full-time positions are at what might be referred to as second-level administrative responsibility. In general terms, they would be Associate Deans or a similar post with line responsibility.

2. *Intermediate-responsibility positions.* These are full-time, or substantially full-time, positions at the third level of responsibility. In many cases, they would be staff positions as opposed to those involving direct supervision, and would be at the Assistant, or Assistant To, level.

3. *Entry-level positions.* These are full or substantially full-time positions on the junior staff and would require no previous experience in higher education. Most of these positions would not be a part of the formal program in the sense that the occupants of the posts would be selected with an eye toward future acceptance after they have gained enough experience to prove their potential. Possible future participation in the formal program might be used as an incentive in recruiting people for these entry level positions.

If the Leadership Development Program is expanded at a future date, steps should be taken to add part-time and intern positions suitable for graduate and undergraduate students. See Addendum D.

D. *The Nature of Administrative Responsibility.* Particular attention must be paid to the nature of the responsibility involved in each position within the program. The line supervisor should make particular efforts to recognize the developmental aspects of the program and should do as much as possible to provide a flexibility of exposure and experience in giving assignments to the participant. Opportunities to observe and discuss the total operations and responsibilities of the specific office and area are particularly valuable. Assignment of the person to committees and projects exploring the nature of related operations should be made whenever feasible. Presidential committees and those of the Board of Trustees and Academic Senate provide opportunities for relevant training for the participants as well as a significant service to these committees.

E. *Qualifications for Participants.* Participants should have the potential to become major officers of a university. Their long-range interests should be more with higher education in general than with any specific administrative area, and the satisfactions they seek should be those which they may reasonably expect to find in university life. They should be innovative and confident, and they should have sufficient ambition to allow them to take the risks inherent in constructive leadership. Care should be taken to insure that no specific qualifications are established, which would, in effect, restrict full participation by women or members of minority groups.

The need for persons who are primarily specialists to have some limited contact with other specialties in order to do their specific jobs better is a legitimate one. The selection of these specialists for this program would be inappropriate, however. Special programs to meet these needs can be developed at a later date.

F. *Administration of the Program.* The steering committee should be chaired by the President of the University and should include the vice-presidents and the Director of the Stanford Linear Accelerator Center. When matters other than those relating to personnel are to be discussed, a representative of the participants in each of the levels of responsibility should also sit as a full member of the committee.

The steering committee should have three major responsibilities.

1. To provide overall guidance for the development and implementation of the program with an emphasis on policy matters. The President should be responsible for the overall administration of the program. The existence and operation of the program should in no way result in interference or involvement with the functional responsibilities and operations of the participants. Once underway, there should be only occasional meetings of the steering committee. The President should appoint the Director of the program who would serve in this capacity as an additional duty. The Director's function would be to coordinate the initial recruiting and selection of participants, to recommend the periodic shifts in positions, and to maintain a continuing evaluation of the program.

2. To support the responsible supervisory officer, who should have the final say in any appointment, by attracting and making available an able but diverse group of leadership generalists who might not otherwise be under consideration.

3. To support the individual participant by providing him with advice and opportunities and his consideration of his own development within the program.

G. *Selection of Participants.* The program should get underway on a relatively small scale. Eventually, the program might involve a total of as many as thirty to fifty participants. Initially, many of the participants might be drawn from among the present occupants of positions within the University. As vacancies become available, however, a program of recruitment should be undertaken to attract persons from all areas of the Stanford community and from all areas across the country. The actual selection should be the dual responsibility of the steering committee and the administrative office responsible for the specific post in question.

H. *Mobility Within the Program.* Each participant's involvement with the program should be viewed as a matter of individual career planning and development. His own wishes and his own decisions should be the dominant factors in his participation and movement. The steering committee should enter into an agreement with each participant as to the conditions and duration of his initial period of employment under the program. While he should always be subject to removal for cause, it is important that there be some stability of employment involved to offset that which he loses by leaving a specific career field and specialty, and to balance out the risks he incurs by moving from one supervisor to another.

Salary should be based on the individual rather than the position so as to insure stability and ordered progress for the participant, and to minimize mobility problems resulting from salary differences from one office to another. This would require some minor budgetary flexibility.

The three levels of responsibility might be viewed as something similar to academic rank. That is, there should be mobility and advancement available within each level, and there should be some general requirements and significance attached to movement from one level to another. Advancement from the entry level to the intermediate level should require demonstrated administrative competence and at least a high degree of potential in the other areas of qualification for the program.

Promotion from the intermediate to the advanced level should be forthcoming only after the participant has provided the steering committee with evidence of the following accomplishments:

1. Successful completion of major responsibilities in a staff position.

2. Quality performance in at least one task or position involving line responsibility and the direct supervision of the efforts of others.

3. Completion of at least one creative project or proposal that involves substantial analysis and original thought and results in realistic recommendations for action or implementation.

Selection for the advanced level should carry with it a general understanding that the participant's overall performance is superior and that he is viewed as having a strong likelihood of continued employment at the University. Selection for this level should also qualify the participants, and those who complete the program, for a special exchange-study program. After seven years at Stanford, and for each succeeding period of like duration, they should spend six months on exchange at another university, foundation, or agency. This would be followed by six months of independent time engaged in travel or some task which they feel will result in improved performance upon their return to Stanford.

Participants should be able to apply to the steering committee for a leave of up to two or three years to enable them to gain work experience at other institutions, governmental agencies, or foundations. If the committee feels the past performance of the participant and the potential return from the proposed work experience are of a sufficiently high level, the application should be accepted and assurances given that the participant may return to the University and to the program at a stipulated time.

Evaluation of performance by the participants should be the ultimate responsibility of the steering committee with reliance upon the Director and the specific line supervisors. While the participants should be loyal to and fully responsible to these immediate supervisors, care should be taken to protect the participants from undue pressure to conform to the demands of a particular office. There must be sensitivity on everyone's part to the possible complications resulting from anxiety over the existence of an "in group" program. Accordingly, the program should be conducted in a quiet but open manner with maximum care given to morale on all sides.

I. *Selection Out and Completion of the Program.* After completion of a maximum of three positions at any one level, the participant should be advanced to the next level or removed from the program. Removal could occur, of course, at the completion of any period of agreed employment. Care should be taken to avoid any participant leaving the program and settling in a program position. Resigning or leaving the program should occur only with the permission of the steering committee and should carry with it a full evaluation of the individual's employment status at Stanford. Some participants will leave Stanford for other fields or other schools.

Promotion out of the advanced-level positions would constitute completion of the program. There would be no future career relationship with the steering committee and the former participant would be left with his own background, abilities, and the assurance of his exchange-study year so long as he chose to accept it.

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January 1969

Addendum A

Note: If the Leadership Development Program as outlined in the basic text is accepted, the authors of this proposal would like to work with the Steering Committee and the faculty to develop the necessary supporting education and research activities. Accordingly, the thoughts set forth below are only tentative. More detailed suggestions will be submitted when appropriate.

Education & Development Phase

The leadership development program should include a flexible and effective program of education and development that would be available to both the employed program participants and to other interested members of the faculty, staff, and student body.

A. *Informal Programs.* Periodic meetings of the program participants involved at one or more levels would provide opportunities for these persons to discuss current campus problems and needs in a manner that would bring unusual diversity and insight to the decisions. These meetings would also provide opportunities for the participants gradually to familiarize themselves with the nature of leadership responsibilities in the varied operations of the University. In addition, occasional special meetings of some or all participants might prove advantageous. For instance, the Provost might wish to use the advanced and intermediate participants as a sounding board or as additional staff to develop a creative response to a particular crisis or problem with which he is confronted. This would complement and not replace the reliance upon regular staff structure. It would, however, give the participants an opportunity to gain insights into top level problems, and it would provide the top level administrative staff with access to additional diverse and creative perspectives.

Prior to shifting to a new position, each participant would be exposed to a series of briefings and other activities designed to acquaint him with the new responsibilities which he was about to assume. Such briefings and informal exchanges among participants would also aid a participant in determining whether he wished to shift to a particular position. It would also allow the responsible administrative officers to gain some insight into the interest and abilities of participants prior to appointment.

B. *Formal Education Programs.* Although many of the participants in the program will already have completed most or all of their formal academic work, recruitment and proper development at the lower levels and increased refinement at all levels of participation, dictate the clear need for a flexible and viable academic program to support the aims of the Leadership Development Program. This program must be relevant to the problems faced by the leadership personnel in today's universities. The creative responses in these problem areas should be coming from the people who are meeting them on a day-to-day basis in their ongoing activities. The time lag that is involved in the assimilation and refinement of these responses by full-time teaching faculty is a luxury that higher education can no longer afford.

1. *Classes and independent study.* The foundation of the formal education program should be a diverse set of courses and programs of independent study chosen for their relevance to current and future problems of leadership in higher education. Areas to be covered would include liberal arts curriculum in higher education, university finance, admissions, residential education, and the relationship between the university and the community beyond. The process would be a combination of traditional faculty-taught courses and new faculty-coordinated but practitioner-led seminars and research programs. For example, few persons, if any, are more aware of the challenge and problems of university finance than Ken Cuthbertson. Philip Rhinelander, John McDonough, and Joel Smith have much to offer on problems of ordering within the University community from their extensive consideration of judicial systems within the Committee of Fifteen. We have just completed a thorough program of ongoing study of higher education at Stanford and it would be unfortunate indeed if we did not take advantage of the substantial research materials and of the informed community members who participated in this program. The necessary guarantee of academic integrity for these classes would be assured by overall supervision and coordination by the faculty.

2. *Degree programs.* The formal classes and programs of independent sutdy would be designed to meet the needs and interests of graduate students participating in three types of degree programs.

a. *Academic disciplines other than in education.* Relevant courses, particularly in curriculum and academic administration, should be made available to students seeking advanced degrees in all schools of the University. Exposure to problems in university finance, for instance, might be quite relevant to the needs of some students in the School of Engineering or the School of Law if they have an interest in future roles as teachers or administrators in those fields. Some able students wishing to teach in history might also wish to consider academic administration as a future alternative. In any event, their interest and ability to serve on faculty committees in problems outside their specific academic discipline might well be expanded by an opportunity for systematic exposure to University-wide problems.

b. *Interdisciplinary degree programs.* It should be possible for a student interested in a career in higher education to combine courses and degree programs in two or more academic disciplines. Such a program might be very supportive of the development of the administrative generalist.

c. *Higher education degree programs.* The formal degree programs in higher education would be made more attractive by the existence of additional relevant courses, the greater involvement of practitioners, and the increased availability of coordinated work experience.

C. *Special Institute Programs.* Stanford University should sponsor special institute and summer school programs to attract participants from other schools around the nation. Stanford could easily establish itself as a major clearinghouse of information on the ongoing problems of leadership in higher education. A fringe benefit would be to provide our own staff with an opportunity to become acquainted with able young people from all across the country who have an interest in higher education. During the regular academic year, most of the formal and informal education programs would be confined to our own students, faculty, and administrative staff. It is certainly possible, however, to invite special faculty and administrative personnel to the campus to participate in class programs, or to take advantage of the presence of such visitors who are at Stanford for other reasons.

Addendum B

See note at Addendum A.

Research & Materials Phase

A major difficulty with the proposed education and development phase of the Leadership Development Program is the relative absence of timely and relevant teaching and discussion materials. To overcome this difficulty, Stanford should organize a research and coordinating unit within the School of Education. The function of this unit would be to research, compile, write, and coordinate the necessary materials for such courses and discussions.

The case method of study is particularly appropriate to the type of educational programs proposed in this program. In most instances, the materials and alternative arguments already exist in one form or another. In some areas, however, the ideas to be discussed, and programs and problems to be considered, are sufficiently new that there is little available in writing. In these instances, the staff of the research unit would need to work closely with the faculty member or practitioner involved to develop and compile the necessary materials.

Few colleges and universities allow for sabbatical or similar periods of rest and reflection for their leadership personnel. Yet in many cases it is these persons who have learned much from their experiences, and who have much to make available to other faculty and administrators. Government or foundation funds should be obtained in order to offer study grants to practitioners so that it would be possible for them to come to Stanford to lead discussions and to write. The duration of the grants could range from one month to one year. The relative periods allowed by such study grants might also encourage these able people to continue to work in higher education. There are some existing programs designed to allow funds for these periods of writing and research. The recipients of these awards could be encouraged to come to Stanford for their work, or at least to coordinate their work with the program here and to contribute their efforts to a meaningful overall program.

The goal of the research unit should be to develop and reproduce relevant materials in a manner that would allow them to be used in a simple looseleaf format. Each program, case, or study topic should be written as a basic and separate unit. This would enable the faculty and practitioners involved in the classes and discussions to select materials relevant to their particular needs and would allow for a continual updating of these materials as situations developed. The materials would, of course, be made available to institutions across the country for use in academic classes and staff development programs. In some cases, the materials might be very effective orientation vehicles for newly appointed academic committee members. For instance, a newly appointed faculty member to an admissions committee might find it particularly helpful to have available a clear and concise description of the basic techniques and resources used in admissions programs across the country.

Addendum C

Sample Table of Positions

The following list is merely a sample of the general type of positions that might be relevant to include in the program. The actual positions to be included would be identified by the Steering Committee with the assistance of the Director after careful consideration had been given to the specifics of the program and the participants.

Academic Administration

Office of the President
  Assistant to the President

Office of the Provost
  Assistant Provost, Assistant to the Provost

Graduate Division
  Associate Dean

Schools of Humanities and Sciences, Education, Law, Business, Engineering
  Assistant Dean, Assistant to the Dean

Overseas Campuses
  Associate Director, Assistant Director

Center for Research in International Studies
  Associate Director, Assistant Director

Student Services

Dean of Students Office
  Associate Dean, Assistant Dean, Residence Director

Admissions Office
  Associate Dean, Assistant Dean

Placement Office
  Assistant Director

Business and Finance

Office of the Vice-President for Business Affairs
 Assistant to the Vice-President

Office of the Vice-President for Finance
 Assistant to the Vice-President

Office of the Business Manager
 Assistant Business Manager, Assistant to the Business Manager, Manager of Residences

General Secretary's Office

Controller's Office

General Administration

University Relations Office
 Associate Director

Alumni Association
 Associate Director, Assistant Director

Stanford Linear Accelerator Center
 Assistant to the Director

Library

Addendum D

Once the program becomes established, it should be expanded to include a special set of positions for graduate and undergraduate students. The goal of this segment of the program would be to expose potential university leadership personnel to the opportunities of a career in higher education. Rotation periods would be about one year, and there would be no assurance of continuation into the regular program.

For the most part, these students would occupy part-time positions that already exist, and no special funds would be necessary.

1. *Graduate Student Positions.* These posts would be part-time positions on the junior staff and faculty and would include teaching assistants, research assistants, residence tutors, and interns to committees and offices. They would be open to graduate students beginning their dissertations or in the advanced level of course work.

2. *Undergraduate Student Positions.* These would be confined to summer internships or part-time posts on special projects and programs.

Appendix 4

Articles of Organization of the Faculty

CHAPTER I

Articles of Organization

Section 1. All Statutes, By-Laws, and Regulations are subject to the University Trusts and the powers and duties vested in the Board of Trustees and the President of the University.

Sec. 2. The following Articles of Organization are subject to amendment or repeal by the Board of Trustees.

CHAPTER II

The President

Section 1. The responsibilities and duties of the President are as set forth in the University Trusts and as herein provided.

Sec. 2. The President shall be the executive officer of the Faculty of the University.

Sec. 3. He shall be primarily responsible for the enforcement of discipline in the University.

Sec. 4. He shall be *ex-officio* Chairman of the University Staff, of the Academic Council, and of the Committee on University Policy.

Sec. 5. He shall be *ex-officio* head of the faculty or faculties of any schools which may hereafter be organized by the Board of Trustees.

Sec. 6. He shall be the official medium of communication between the teaching force of the University and the Board of Trustees, and between the students of the University and the Board of Trustees.

Sec. 7. He shall designate a full professor in each department to act as executive head of the Department Faculty, such executive head to hold office at the will of the President, both appointments and removals of heads of Department Faculties to be made after consultation with the Advisory Board and with the approval of the Board of Trustees.

Sec. 8. He may appoint from the Faculty and Staff the committees hereinafter designated as Presidential, and may name the chairmen of such committees.

CHAPTER III

Acting President

Section 1. In the absence of the President or in case of his inability to act, an Acting President, to be appointed by the Trustees, shall perform his functions.

CHAPTER IV

The University Staff, the Faculty, and the Academic Council of the Faculty

Section 1. The University Staff.

a) The University Staff shall consist of the President of the University; the Vice Presidents*; the Dean of Students; the Chaplain; the Director of Health Service; the Registrar; the Director of Admissions; the Chief Counselor of Women*; the Chief Counselor of Men*; the Business Manager; the Comptroller; the General Secretary; the Academic Secretary; the Director of University Libraries; all Professors, Associate Professors, Assistant Professors, and Instructors; Lecturers; Research Associates; Directors, Associate Directors, and Assistant Directors in schools, institutes, or other educational divisions of the University; Curators; all holding "acting" appointments or appointments "by courtesy" to any of the foregoing ranks and positions other than that of acting instructor*; professional members of the staff of the Library, institutes, or other educational divisions of the University; such members of the President's and Dean of Students' staff and such other University employees as shall be designated from time to time by the Executive Committee of the Academic Council.*

b) The University Staff shall meet three times a year in joint session with the Academic Council, and at other times upon call of the President or the Executive Committee of the Academic Council.

c) At each meeting of the University Staff the President shall make such report on the state of the University as he deems desirable.

Sec. 2. The Faculty

a) As provided in the Founding Grant, the Faculty shall consist of the President and Professors.

b) The Academic Council of the Faculty shall consist of the President and Professors. Professors shall consist of Professors, Associate Professors, and Assistant Professors who serve the University on a full-time basis, except those on acting or other temporary appointments. One-seventh of the membership shall constitute a quorum.

b) The Academic Council shall hold four regular meetings each year, three of which shall be in joint session with the University Staff. Special meetings may be called by the President, or the Advisory Board, or the Executive Committee, or by any ten members of the Council upon written request filed with the Academic Secretary. Notice of all meetings shall be mailed to the members of the Council by the Academic Secretary at least two days prior to the meeting.

c) Except as otherwise specified in the Founding Grant, the power and authority of the whole University Faculty is vested in the Academic Council.

d) The Academic Council is vested with all the powers and duties usually vested in the faculties of similar institutions to discuss and decide upon all matters of internal policy, except as herein otherwise provided. It has general power and responsibility for the internal administration of the University, subject to express provisions herein contained respecting the methods of exercising such powers through the agency of its Chairman and Committees, the Department Faculties, or the Advisory Board.

*On March 9, 1955, the Executive Committee of the Academic Council, acting under authority provided in Section 1-a, approved (1) the inclusion of *the Provost* (as a substitute for *the Vice Presidents*), (2) *the Chief Counselors for Men and Women* (as a substitute for *the Chief Counselors of Men and Women*, respectively), and (3) definition of membership on the University Staff for those holding *acting* appointments as follows: "All holding full-time *acting* or *visiting* appointments and clinical, consulting and *by courtesy* appointments in any of the foregoing ranks and positions for a period of at least one academic year."

e) The Council shall recommend to the Trustees candidates for graduation.

g) Subject to the powers and duties vesting in the Trustees, all general University regulations, statutes, and rules as to the matters within the province of the Faculty shall be initiated in and passed by the Academic Council, and shall be in force, subject to the power of disapproval in the Trustees, excepting that no regulation, statute, or rule involving a change in the educational policy of the University in respect to the requirements of admission, the course of study, or the conditions of graduation, shall take effect as above until the same shall have been submitted to the Trustees. The advisability of considering any proposed legislation may be informally suggested to the Council in general terms by the President of the University or by the Board of Trustees.

h) All special Committees and Department Faculties may be instructed in their duties by the Council, and may be called upon to report their action to it.

i) The Academic Council may adopt By-Laws and Rules of Order providing for its organization and the orderly conduct of its affairs.

CHAPTER V

Elections

Section 1. For the purpose of elections to the Advisory Board and the Executive Committee, the members of the University Faculty are divided into groups, as follows:*

Group I. Asiatic and Slavic, Classics, English, Germanic Languages, Romanic Languages, Speech and Drama.

Group II. Art, Education, Geography, History, Music, Philosophy.

Group III. The President, Anthropology and Sociology, Business, Economics, Journalism, Law, Librarians, Political Science.

Group IV. Chemistry, Mathematics, Mineral Sciences, Physical Sciences, Physics, Statistics.

Group V. Civil Engineering, Electrical Engineering, Mechanical Engineering, Military Science and Tactics, Naval Science and Tactics.

Group VI. School of Medicine (including Nursing).

Group VII. Biological Sciences, Food Research, Hygiene, Physical Education, Physical Therapy, Psychology.

CHAPTER VI

The Advisory Board

Section 1. Establishment, Membership, Term of Office, Quorum

a) There is established an Advisory Board of seven members elected by the Academic Council.

b) Membership on the Advisory Board is limited to members of the Academic Council who are full professors, excluding those members who hold the offices of President, Vice President, Provost, Vice Provost, Dean of the Graduate Division, Deans of Schools, Registrar, Director of Admissions, Director of University Libraries, Director of the Health Service, Director of the University Press, Director of Athletics, Dean of Students, Dean of Men, Dean of Women, and other members of the Council who are determined by the Executive Committee of the Academic Council to hold offices of like character in the University administration.

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*In practice, there are departures from this listing which have resulted partially from changes in names of schools and departments and partially from organizational realignments of units of instruction.

c) Terms of office are three years and begin on September 1 following election. Consecutive service shall be limited to two terms (or fraction thereof), but a person is eligible for re-election at the third annual election after the expiration of any period of service.

d) No person may be a candidate for election to the Advisory Board and the Executive Committee at the same time. Nor may any person be a candidate for election to the Advisory Board if he is then serving as a member of the Executive Committee and if the term which he is serving and the term for which he is a candidate overlap. Any person must, upon beginning a term of service upon the Advisory Board, resign from any Committee of the Academic Council on which he is serving.

e) A majority of the members of the Advisory Board constitute a quorum.

Section 2. Powers and Functions

a) The Advisory Board shall advise the President concerning any matter which he may choose to refer to it.

b) All recommendations for academic appointments, promotions, and dismissals, for the creation of new departments or chairs, and for the abolition of departments or chairs, shall be submitted by the President to the Advisory Board for approval before they shall become operative, or before they may be submitted to the Trustees for their action, when such action is necessary. In all cases, in presenting such matters to the Board of Trustees, the President shall state whether or not they have the approval of the Advisory Board.

c) The President shall submit to the Advisory Board for its advice proposed appointments of academic deans and heads of academic departments.

d) The President may submit matters to the Advisory Board orally or in writing as he may see fit, but action thereon shall be taken in executive session.

e) The Advisory Board may make such recommendations to the President regarding policy as it may decide by vote to be expedient, but no recommendations for appointments, promotions, or dismissals shall originate with the Advisory Board.

f) The Advisory Board may, by a vote of five of its members, appeal to the Trustees any differences between the President and itself.

g) The Advisory Board shall have the power to convene the Academic Council at any time.

h) The Advisory Board shall keep systematic records of its proceedings which shall be accessible to the President.

i) The Advisory Board may at any time be called together by its chairman or by the President of the University.

j) The Advisory Board shall elect by ballot a chairman and a secretary from its own members.

CHAPTER VI-A

The Committee on University Policy

Section 1. Establishment, Membership and Quorum

a) There is established a Committee on University Policy to consist of the President, the elected members of the Executive Committee of the Academic Council and such other persons as the President may appoint.

b) The President is *ex officio* chairman of the Committee on University Policy.

c) A majority of the Committee on University Policy constitutes a quorum.

Section 2. Powers and Functions

a) The Committee on University Policy shall advise the President on those matters on which he requests its advice. The President shall request the Committee's advice on any matter which the Executive Committee of the Academic Council requests him to submit to the Committee for such advice.

b) The Committee shall meet regularly at a fixed time and place. It shall be adequately staffed by the President's Office.

c) The Committee shall keep minutes of its deliberations and actions. It shall regularly report its actions to the University staff, except as to matters deemed by the Committee to be confidential or not ripe for disclosure.

CHAPTER VI-B

The Executive Committee of the Academic Council

Section 1. Establishment, Membership, Term of Office, Quorum

a) There is established an Executive Committee of the Academic Council of nine members.

b) Membership on the Executive Committee is limited to members of the Academic Council, excluding those members who hold the offices of President, Vice President, Provost, Vice Provost, Dean of the Graduate Division, Deans of Schools, Registrar, Director of Admissions, Director of University Libraries, Director of the Health Service, Director of the University Press, Director of Athletics, Dean of Students, Dean of Men, Dean of Women, and other members of the Council who are determined by the Executive Committee of the Academic Council to hold offices of like character in the University administration.

c) Terms of office are three years and begin on September 1 following election. Consecutive service is limited to two terms (or fraction thereof) but a person is eligible for re-election at the third annual election after the expiration of any period of service.

d) No person may be a candidate for election to the Advisory Board and the Executive Committee at the same time. Nor may any person be a candidate for election to the Executive Committee if he is then serving as a member of the Advisory Board and if the term which he is serving and the term for which he is a candidate overlap. Any person must, upon beginning a term of service upon the Executive Committee, resign from any other Committee of the Academic Council on which he is serving.

e) A majority of the members of the Executive Committee constitute a quorum.

Section 2. Powers and Functions

a) The function of the Executive Committee is to provide the Academic Council with the opportunity to consider and decide or take positions on questions of University policy relating to matters of immediate concern to the members of the Academic Council as such. To this end it shall keep itself informed about and advise the Council concerning such matters, utilizing the services of various Committees of the Academic Council.

b) The Executive Committee shall elect by ballot a chairman and a secretary from its own members. In the absence of the chairman the secretary of the Executive Committee shall act as its chairman.

c) The elected members of the Executive Committee are *ex officio* members of the Committee on University Policy.

d) The Executive Committee may convene the Academic Council at any time.

e) The Executive Committee may create such committees of the Academic Council as it may find useful and define their powers and duties and may modify, consolidate or discontinue such committees. Committees of the Academic Council shall report to the Executive Committee. The Executive Committee shall, in consultation with the President, appoint the members of such committees and name their chairmen in accordance with the following:

1. No person may be appointed to membership on a committee of the Academic Council to serve at a time when he will be serving as a member of the Advisory Board or the Executive Committee of the Academic Council.

2. Committees of the Academic Council may not consist of fewer than five nor more than fifteen members.

3. Terms of office are three years and begin on September 1 following appointment. Consecutive service on a particular committee is limited to two terms (or fraction thereof) but a person is eligible for reappointment to a committee after three years have elapsed following any period of service.

4. To the extent that it is possible to do so and yet select qualified persons for particular committees, the Executive Committee shall make committees as widely representative as possible of various areas of the University and various ages and ranks of the Faculty.

f) The Executive Committee shall keep minutes of its deliberations and actions which shall be accessible to the Board of Trustees, the President, and to the members of the Academic Council.

CHAPTER VII

Committees

Section 1. Committees of the Academic Council

a) Committees of the Academic Council may be created and appointed by the Executive Committee in accordance with Chapter VI-B, Section 2e of the *Articles of Organization.*

b) Membership on Committees of the Academic Council shall be limited to members of the Academic Council.

c) A Committee of the Academic Council is the agent of the Executive Committee in an area of University policy and administration with which the Academic Council is immediately concerned, and has the following duties:

1. To keep the Executive Committee informed about proceedings and developments in the area to which it is assigned;

2. To recommend to the Executive Committee changes in University policies and practices in that area;

3. To report to the Executive Committee changes in University policies and practices in that area proposed by administrative officers;

4. To assist the Executive Committee in preparing for admission to the Academic Council statements of academic policy and/or proposed legislation in relation to the area concerned;

5. To render advice to the administrative officer or officers having administrative jurisdiction over the area with which the committee is concerned; and

6. To keep formal minutes which shall be filed with the Executive Committee, and to submit an annual report to the Executive Committee.

d) The administrative officers having administrative jurisdiction over the area with which a committee is concerned shall keep the committee informed as to policies, practices and proposed changes, shall furnish regular reports, including an annual report, to the committee, and shall make available such special information as the committee may from time to time request. At the committee's request, the administrative officer shall furnish appropriate staff and clerical assistance.

Section 2. Presidential Committees

a) The President may create such Presidential Committees as he may find useful and define their powers and duties and may modify, consolidate or discontinue such committees. Presidential Committees shall report to the President. The President shall, in consultation with the Executive Committee of the Academic Council, appoint the members of such committees and name their chairmen.

CHAPTER VIII

The Department Faculties

Section 1. The Department Faculties

a) The Department Faculties shall consist of the Professors, Associate Professors, Assistant Professors, and Instructors in the several departments, but only those members who are members of the Academic Council shall have the right to vote.

b) The Executive Head of a Department Faculty shall preside at the meetings of the Faculty and shall act as the representative of the department in its official relations with the President, the Academic Council, and the other Departments.

c) He shall sign all requisitions for supplies and equipment required by the Department.

Sec. 2. A Department Faculty shall have direction of the work of instruction in the department and of the internal administration of the department, subject only to such control as is vested in the Board of Trustees, the President of the University, or the Academic Council.

Sec. 3.

a) All matters of internal administration in the department shall be decided in conference or, if necessary, by vote of those members of the Department Faculty who are members of the Academic Council.

b) In case the Executive Head of the Department shall fail to concur in the decision of the Department Faculty, he shall report in writing the action of the Department Faculty: 1) In administrative matters to the Advisory Board, or 2) in academic matters to the Executive Committee of the Academic Council with a written statement of his reasons for non-concurrence; and the other members of the Department Faculty may, at will, make a written statement of their position.

c) Any member of the Department Faculty shall have a like right to appeal.

d) The Advisory Board or the Executive Committee of the Council, as the case may be, shall in such cases consider the course to be pursued, and shall submit its opinion in writing to the President of the University, whose decision shall be final.

e) The proper Department Faculties shall determine by vote when students shall be recommended for graduation, and the Executive Heads shall report the names of such students to the proper committee.

Sec. 4. Department Faculties may adopt by-laws for regulating the internal affairs of the department and shall keep a record of their official acts.

Sec. 5. Meetings of a Department Faculty may be called by the Executive Head or by any two voting members.

CHAPTER IX

The Registrar

Section 1. The Registrar shall be appointed in the same manner as professors are appointed, and shall be a member of the Academic Council.

Sec. 2. He shall be responsible for the care of the records of students.

Sec. 3. He shall be the official medium of communication between the students and the academic committees.

Sec. 4. He shall prepare, subject to the approval of the President and the Executive Committee, all official publications of the University, such as Register, Bulletins, Directory, etc.

Sec. 5. He shall have control of such clerical assistants as are provided for the preparation and care of records of the academic work of the University.

Sec. 6. He shall conduct such a bureau of information as is necessary for the academic work of the University.

CHAPTER X

Director of the University Libraries

Section 1. The Director shall be appointed in the same manner as professors are appointed, and shall be a member of the Academic Council.

Sec. 2. He shall have custody of all books, etc., belonging to the University Library or to Department Libraries.

Sec. 3. He shall have control of all assistants who shall be employed in the administration of the Library.

Sec. 4. Librarians or curators of departmental or special libraries employed primarily for the care and administration of such libraries shall be nominated for appointment by the Director of the University Libraries and shall be under his general supervision and control.

CHAPTER XI

The Academic Secretary

Section 1. The Academic Secretary shall be appointed by the President, subject to the approval of the Board of Trustees, and shall be a member of the Academic Council.

Sec. 2. He shall have such duties in the President's Office as the President shall from time to time prescribe.

Sec. 3. He shall have the custody of the records of the standing Academic Committees, and shall issue the call for the meetings of the Council and of the various committees of the University, as directed by the proper authorities.

Sec. 4. He shall be the Secretary of the University Staff and of the Council and shall keep a record of their proceedings.

By-Laws of the Academic Council

I. Officers

The President of the University shall be *ex officio* Chairman of the Academic Council.
The Academic Secretary shall be *ex officio* Secretary of the Academic Council.

II. Meetings

The Academic Council shall meet in joint session with the University Staff on the Friday after the beginning of instruction in the autumn, winter and spring quarters. In addition the Council shall meet on the Friday following the close of instruction in the spring quarter. Special meetings may be held as provided in the Articles of Organization of the Faculty.

IV. Order of Business

The order of business shall be as follows:

1. Reading of the Minutes
2. Reports of Standing Committees
3. Reports of Special Committees
4. Unfinished Business
5. New Business
6. Adjournment

V. Conduct of Elections

1. *The Advisory Board.* The Advisory Board shall be composed of one member elected from each of the seven groups as defined in the Articles of Organization. Vacancies by expiration of term shall be filled by the Council by election as hereinafter provided.

2. *The Executive Committee.* Seven members of the Executive Committee shall be elected by the Academic Council at the same time, and in the same manner, as members of the Advisory Board are chosen. Two additional members of the Executive Committee shall be elected at large as hereinafter provided.

3. *Distribution of Ballots and Election Results.* Two weeks prior to the last Wednesday in April in each year the Academic Secretary shall mail to each active member of each group of the Council in which a vacancy is to be filled an official ballot which shall show any vacancy to be filled from that group in the Advisory Board or the Executive Committee, and the eligible candidates therefor from the group arranged alphabetically, together with full instructions as to the manner of voting. The Academic Secretary shall also enclose a return envelope stamped "First Ballot" with blanks for date and signature of voter. Ballots duly sealed and endorsed by the voters shall be received by the Academic Secretary until 3:00 p.m. on the last Wednesday of April, after which time they shall be canvassed by tellers previously appointed by the President. The results of the balloting shall be certified to the Academic Secretary, who shall transmit them to all members of the Council, and shall enclose new ballots showing names of candidates for vacancies in all groups with return envelopes stamped "Second Ballot", and with full instructions as to the manner of voting as hereinafter provided. These second ballots shall be received by the Academic Secretary until 3:00 p.m. fourteen days later than the date for receiving and counting first ballots and counted by the tellers, as in the case of first ballots. The results shall be certified and mailed to the members of the Council as before.

4. *The First Ballot.* In balloting for members of the Advisory Board and Executive Committee, the first ballot shall be taken without nomination, the choice of the voter being restricted only to the list of eligible persons in the group from which a member is to be elected. Each member of the Council voting shall, on the first ballot, be instructed to vote for five candidates. Absence or prospective absence on leave shall not affect eligibility for election.

5. *The Second Ballot.* Voting upon the second ballot shall be restricted to the five names in each group receiving the highest number of votes on the first ballot. After each name shall appear the number of votes received on the first ballot, and the five names shall appear in descending order according to number of votes. If two or more names are tied for fifth place in a group, the name or names to be omitted shall be determined by lot from the names so tied. On the second ballot each voter shall be instructed to vote for one and only one candidate in each contest. In the canvassing of the second ballot, the candidate receiving the largest number of votes shall be declared elected. The candidate with the next highest number shall be the first alternate; the candidate having the third highest number shall be the second alternate; etc. In case of a tie vote, the election shall be determined by lot and the person losing shall be the first alternate. In case of a tie between the second and third persons, the first alternate shall be determined by lot, the loser becoming the second alternate. If two are tied for third place, the second alternate shall be chosen by lot, etc.

6. *Alternates.* A vacancy caused by other reasons than expiration of term shall be filled by the first alternate from the group in which the vacancy occurs; and in case of a vacancy in which the first alternate cannot serve, the vacancy shall be filled by the second or a subsequent alternate, in order, from the group in which the vacancy occurs. If the vacancy is permanent, the alternate shall serve out the unexpired term; if the vacancy occurs through the temporary absence of a member on leave or vacation, the alternate shall serve only until the return of the member to active duty. A member on vacation but in residence at the University shall have the option of serving or declining to serve during the vacation period. Alternates shall serve as such until the next election in the group from which they were chosen; but an alternate filling a vacancy at the time of an election in his group shall continue to serve until the termination of such vacancy.

7. *Pattern of Elections.* The pattern of election to the Advisory Board and the Executive Committee shall be based upon cycles of three years, with each member being elected for a three-year term. In the first year of a given cycle members shall be elected from each of three groups; in the second and third years of the cycle, respectively, members shall be elected from each of two groups. Terms of service shall be staggered in such a way that from a given group election to the Advisory Board will not fall in the same year as election to the Executive Committee.

8. *Executive Committee; Members at Large.* In each of the second and third years of the election cycle for the Executive Committee as described in Section 7. of this By-Law, an additional member shall be elected to a three-year term on the Executive Committee. This election shall be by vote of the incumbent members of the Executive Committee after the results of the Academic Council election are known to the Executive Committee but before the results are generally announced.

9. *Provision for Transition Period.* For elections to both Advisory Board and Executive Committee, the new method of balloting shall be used in 1960. No transition procedure is necessary for the Advisory Board. For the Executive Committee, a transition period of three years will be required, during which elections shall be as follows:

1960

Elect members for three-year terms from Groups I, III and V. Elect member for one-year term from Group VI. Elect members at large, one for a two-year term and one for a one-year term. Carry over present members from Groups II, IV and VII.

1961

Elect members for three-year terms from Groups IV, VI, and one at large. Elect members for one-year terms from Groups II and VII.

1962

Elect members for three-year terms from Groups II, VII, and one at large.

VI. Rules of Order

Robert's Rules of Order shall govern the Academic Council in all cases to which they are applicable and in which they are not inconsistent with the Articles of Organization or with the By-Laws of the Council.

VII. Powers of the Executive Committee

The Executive Committee is authorized to call for reports from all committees in order to prepare matters to lay before the Council.

Measures adopted by the Executive Committee in matters within the powers and jurisdiction of the Council as defined in the Articles of Organization shall be referred to the Council at its next meeting; but in cases of emergency, when the Council cannot be assembled in special session, and in matters of minor importance which, in the opinion of the Executive Committee, do not justify a special meeting of the Council, the action of the Committee may be made effective ad interim without the approval of the Council.

VIII. Votes of Absent Members

In a matter requiring for its affirmative determination a majority of the active members of the Council, and in any other matter deemed by the Council of sufficient importance, the Council may delay the final determination until a reasonable opportunity is afforded to each resident member to cast his vote thereon.

IX. Amendment or Repeal

These By-Laws, except in such part as provided for in the Articles of Organization, may be amended or repealed at any meeting of the Council by a majority vote of all members of the Council, provided notice of such amendment or repeal has been given at a previous meeting.

Appendix 5

Charter of the Senate
of the Academic Council of the Faculty of Stanford University
and
Enabling Provisions

(As approved by the Academic Council April 11, 1968)

Note: The symbol *x* following a Section or Paragraph number indicates that the item is an Enabling Provision rather than an integral part of the Charter.

ARTICLE I

Section A. There is established a Senate of the Academic Council which, subject to the provisions for review and referendum set forth in Article V, shall have the same functions as the Academic Council.

1.x At its first meeting the Senate shall assume the functions of the Executive Committee, which shall then be dissolved.

2.x Elections for the Executive Committee of the Academic Council shall not be held in the Spring of 1968. In the event that the first meeting of the Senate is held in the Autumn of 1968, the incumbent Executive Committee shall serve on an interim basis until that first meeting.

ARTICLE II
Composition of the Senate

Section A. *Elected Members*
The Senate shall consist of elected representatives of the Academic Council (hereinafter referred to as Representatives) and *ex officio* members. Each Representative shall have one vote.

Section B. *Ex Officio Members*
The President of the University, the Provost, the Dean of the Graduate Division, the Dean of Undergraduate Education, the deans of the seven Schools, and the Academic Secretary, shall be *ex officio* members of the Senate without vote.

Section C. *Principles of Apportionment*
The following principles shall control the apportionment of Representatives in the Senate:

1. In the allocation of representation each school shall constitute a major constituency. The Senate may create from time to time other major constituencies as conditions warrant.

2. After deciding upon an appropriate total number of Representatives, the Senate shall provide that approximately one-half the total be allocated to major constituencies on the basis of students registered in those constituencies, and that approximately one-half be allocated to these major constituencies based on the number of members of the Academic Council from each constituency. In no event, however, shall any school receive fewer than two Representatives; nor shall any other major constituency receive less than one Representative.

3. For each major constituency which is allotted two or more Representatives, the distribution of the allotted number of Representatives shall be decided by the respective constituency subject to the following limitations:

a. Each major constituency entitled to more than one seat shall elect approximately one-half of its Representatives each year.

b. The number and composition of electoral units within which the allotted Representatives are to be elected shall be decided upon pursuant to a decision taken at a meeting open to all Academic Council members who are identified with that constituency for electoral purposes.

c. If necessary to avoid multiple voting, members of the Academic Council who hold appointments in two or more electoral units shall certify the unit with which they wish to participate for electoral purposes.

4. Every fifth year the Senate shall reapportion the representation of the Academic Council in accordance with the principles set forth in the foregoing provisions of this section.

5. At the time of any periodic reapportionment, any major constituency may alter the number and composition of its electoral units pursuant to a decision taken at a meeting open to all Academic Council members who are identified with that constituency for electoral purposes.

6. Within these five-year periods, the Senate may:

a. Add Representatives if any major academic entity is created;
b. Permit any major constituency to change the number and composition of its electoral units if organizational changes within the constituency warrant.

Section C.x *Initial Apportionment of Representatives*

The Representatives of the Academic Council shall be allotted to major constituencies as follows:

Graduate School of Business	2
School of Earth Sciences	2
School of Education (including Physical Education)	2
School of Engineering	9
School of Humanities & Sciences	25
School of Law	2
School of Medicine	8
Food Research Institute	1
Stanford Linear Accelerator Center	1
Special Group	1
Including Members of the Academic Council holding the following appointments:	
Chancellor	
President	
Provost	
Vice Provosts	
Dean of the Graduate Division	
Dean of Undergraduate Admissions	
Dean of Undergraduate Education	
Registrar	

Director of University Libraries
Director of University Press
Director of Overseas Campuses
Director of Summer Session
Academic Secretary
Appointed in General Studies
Appointed in the Hoover Institution

Section D. *Election of Representatives and Alternates*

1. Votes shall be cast in annual elections to the Senate by preferential ballot within each unit and shall be counted according to the Hare System of proportional representation. This election shall be held in April or May in combination with the annual election of members of the Advisory Board.

1.x Upon the determination of the number and composition of electoral units in each major constituency, as provided in Section C, Paragraph 3 of this Article, the incumbent Executive Committee shall schedule elections for the first Senate.

2. For each electoral unit, the ballot shall list as candidates the persons entitled to vote in that unit, except for *ex officio* members of the Senate, who shall be ineligible for elected membership.

3. In each election Alternates shall be designated in order on the basis of the balloting. The number of Alternates shall be one more than the number of seats to be filled from the unit.

4. If any Representative shall be unable or unwilling to serve for one academic quarter of his elected term, or longer, the First Alternate shall be designated to serve for the remainder of the unexpired term. In case the First Alternate is or becomes unavailable for service, the Second Alternate shall be so designated, etc.

5. Representatives shall serve two-year terms, beginning September 1. No Representative shall serve more than two consecutive terms or portions thereof.

6. Each electoral unit which is entitled to more than one Representative shall elect approximately one-half of its Representatives each year.

6.x In order to establish the pattern of rotation, the term of approximately one-half of the Representatives in the first Senate to be elected shall be one year. Determination of initial two-year and one-year terms shall be made at the opening meeting of the first Senate by lot, so conducted that from any major constituency or any electoral unit which has elected two or more Representatives approximately one-half shall serve initially for a two-year term and the remainder for a one-year term.

ARTICLE III
Organization and Rules

Section A. *Rules*

The Senate shall promulgate its own rules for the conduct of its business and the execution of functions committed to it, except that:

1. *Regular Meetings*

The Senate shall hold regular meetings at least monthly during the months of September through June. Regular meetings are not to be held during the months of July and August.

2. *Special Meetings*

Special meetings may be called at any time during the year pursuant to a procedure promulgated by the Senate.

3. *Quorum*

A majority of the Representatives shall constitute a quorum at all meetings of the Senate, whether regular or special. A majority of those present and voting shall be required to carry any action.

4. *Privileges*

Meetings of the Senate shall be open to all members of the Academic Council, but normally only members of the Senate shall have the privileges of the floor.

5. *Notification of Senate Actions*

All decisions of each Senate meeting and the votes by which the decisions were taken shall be reported in writing to every member of the Academic Council within seven days after the meeting.

Section B. *Chairman*

The Senate shall elect a Chairman from its Representatives, to serve a term of one year. He shall be eligible for re-election to a second term provided he continues to be an elected member of the Senate. The Chairman shall preside over the Senate and chair the Steering Committee. In his absence these duties shall be performed by another member of the Steering Committee.

Section C. *Academic Secretary*

The Academic Secretary to the University shall serve *ex officio* as secretary of the Senate and of the Steering Committee, keeping minutes of the meetings, issuing calls for meetings, and performing other duties in keeping with his position as secretary.

Section D. *The Steering Committee*

The Senate shall elect from its Representatives four other members to serve on a Steering Committee. In addition the President of the University shall serve as a sixth member of the Committee without vote. At the beginning of each year the President may designate a member of the Senate as his alternate to serve whenever he is unable to attend. The responsibilities of the Steering Committee shall include 1) agenda for meetings of the Senate, 2) communications with individuals and bodies external to the Senate, and 3) the appointment of a Committee on Committees.

Section E. *Election of Chairman and Steering Committee*

Each year in Spring Quarter the newly elected and continuing members of the Senate shall meet as a Senate-Elect to elect the Chairman and other members of the Steering Committee for the following year. The incumbent Chairman shall preside over the election. Prior to that meeting the incumbent Committee on Committees shall present from the newly elected and continuing membership of the Senate two nominations for the chairmanship of the Senate and eight nominations for the remaining four positions on the Steering Committee. Additional nominations from the floor shall be in order. The Chairman shall be elected first, by a written ballot, and a majority vote of Representatives present and voting shall be required to elect. A separate written ballot shall follow for the election of the Steering Committee. Tellers shall tally the votes and announce the results at the meeting. The new Chairman and Steering Committee shall take office September 1.

Section E.x *First Election of Chairman and Steering Committee*
The incumbent Executive Committee shall serve in lieu of the Committee on Committees in the nomination of candidates for the first election of a Chairman and Steering Committee. The Executive Committee shall propose any regulations which may be necessary for the conduct of this election, and the Chairman of the Executive Committee shall preside.

ARTICLE IV
Committees

Section A. *Committee Structure*
The committee structure shall comprise the Steering Committee, the Committee on Committees, and such standing and *ad hoc* committees as the Senate shall from time to time create.

Section B. *Committee on Committees*
The Committee on Committees shall consist of seven members of the Senate appointed by the Steering Committee for one-year terms. In its capacity as a Committee-Elect, the newly selected Steering Committee shall, promptly after its election, appoint the Committee on Committees, which, as a Committee-Elect, shall appoint committees for the next academic year.

The functions of the Committee on Committees shall be:

1. To recommend to the Senate the creation and dissolution of standing and *ad hoc* committees;

2. To recommend to the Senate the charge to each of its committees;

3. In consultation with the President, to appoint members to each committee, and to designate the Chairman of each; and

4. To nominate candidates in the election of the Chairman and Steering Committee, as provided in Article III, Section E.

Section C. *Standing and Ad Hoc Committees*
Membership of standing and *ad hoc* committees shall conform to the following:

1. The Chairman shall be a member of the Academic Council; at least one member of each committee shall be a member of the Senate; and the remaining members shall be drawn from the Faculty, the University Staff, and/or the Student Body as appropriate to the committee's charge.

2. Any committee may add to its membership additional persons from the Faculty, the University Staff, and/or the Student Body, as appropriate to the Committee's charge, not to exceed in number one-third of the original membership.

3. The charge to and composition of each committee shall be publicized. The minutes of standing and *ad hoc* committees shall be available for inspection by any interested member of the Academic Council. Exceptions to this provision may be made by vote of the Committee on Committees where issues of confidentiality are important.

Section C.x In the first year of operation the existing Academic Council committees shall continue to function but shall report to the Senate.

ARTICLE V
The Academic Council and its Relation to the Senate

Section A. *Meetings of the Academic Council*

The Academic Council shall hold one regularly scheduled meeting in each of Autumn, Winter, and Spring Quarters, at which time the Council shall receive reports from the President of the University and reports of Senate discussions and decisions. Special meetings of the Council may be held at the call of the President or by action of the Council. In addition, special meetings of the Council shall be called by the Academic Secretary in accordance with the provisions of Section B of this Article.

Section B. *Council Review of Senate Decisions*

1. *Petitions for Review*

Any decision of the Senate shall be made an agendum for an Academic Council meeting if requested by petition signed by at least:

a. One-third of the Representatives; or

b. Fifty members of the Academic Council; or

c. Two-thirds of the Academic Council members in any major constituency certifying that they or their constituency will be seriously and adversely affected by the decision.

The petition must be presented to the Academic Secretary within three weeks after the decision in question is taken.

2. *Scheduling of Reviews*

Upon receipt of a valid petition, the Academic Secretary shall set the petition for consideration by a meeting of the Council. In deciding whether to call a special meeting or to place the petition on the agenda of the next regular Council meeting, the Academic Secretary shall consider, in addition to the calendar, the importance of rapid Council review as perceived by the petition's proponents and the Steering Committee. If the next regular meeting of the Council is scheduled more than four weeks after the date on which the petition is presented to the Academic Secretary, he shall call a special meeting on demand of the proponents of the petition.

3. *Notice of Special Meetings*

Written notice of any special meeting of the Academic Council shall be dispatched to all Council members not less than one week prior to the meeting.

4. *Scope of Review*

The Council may take any action it deems appropriate on the Senate's decision(s) specified in the notice of convocation. If no action is taken, the decision in question stands.

Section C. *Procedure*

1. *Quorum*

If fewer than twenty per cent of the members of the Academic Council are present, the meeting shall not take any official action, and any petition on the agenda for that meeting shall expire.

2. *Agenda*

Agenda of the Academic Council may include:

a. Reviews of Senate decisions pursuant to Section B of this Article;

b. Matters referred by an earlier meeting of the Council;

c. Reports from the President and the Senate;

d. Matters listed for discussion at the request of the Senate or a member of the Council; and

e. New Business introduced from the floor.

Decisions made at an Academic Council meeting shall be limited to items *a* and *b* above. Items *c, d,* and *e* may be discussed but no decisions on them, other than referral to the Senate, shall be made.

3. *Presiding Officer*
The President of the University, or his representative, shall preside over all meetings of the Academic Council.

Section D. *Referenda*

1. *On Petition of Representatives*
On petition of at least one-third of the Representatives, a mail referendum shall be submitted to all members of the Academic Council asking whether they approve or disapprove the Senate decision specified in the referendum. Such petitions must be presented to the Academic Secretary no later than three weeks after the decision in question is taken. Members of the Senate shall have the option of presenting written arguments of reasonable length which shall be delivered with the referendum to the Academic Council members. The Senate decision shall stand unless disapproved by a majority of those voting. If valid and timely petitions for both a mail referendum and an Academic Council meeting are presented, a meeting of the Academic Council shall be convoked and no mail referendum shall be held except by subsequent vote of the Academic Council meeting.

2. *By Vote of the Academic Council*
An Academic Council meeting may by majority vote order a mail referendum on any question which, under Section C, Paragraph 2 of this Article, is properly before the meeting for decision.

ARTICLE VI
Amendments

Section A. This document may be amended by either 1) action of the Senate concurred in by a meeting of the Academic Council or 2) petition of ten per cent of the Academic Council concurred in by a meeting of the Academic Council, subject in either case to ratification by the President and the Board of Trustees.

ARTICLE VII
Relationship of Senate Charter to Articles of Organization of the Faculty

Section A.x The Charter of the Senate shall have the force of amendment to the *Articles of Organization of the Faculty*. Until such time as the *Articles* undergo general revision the *Charter of the Senate* and *Enabling Provisions*, as set forth above, shall take precedence over the *Articles of Organization* on any matter with respect to which the provisions of the two documents are found to be in conflict.

NOTE: Enabling Provisions I,A.x; II,C.x; II,D,1.x; II,D,6.x; III,E.x; IV,C.x; and VII,A.x are not integral parts of the Charter; they will be dropped from this document when they have served their purposes in the initiation of the Senate.

Appendix 6 Memorandum to the Academic Council from the Executive Committee of the Council

Subject: Dean of Undergraduate Education, Director of General Studies, Committee on Undergraduate Education, Committee on General Studies

Statement prepared by officers of the Executive Committee, January 10, 1964

(i) The President has appointed a Dean of Undergraduate Education and a Director of General Studies.

(ii) The President has approved the recommendation of the Executive Committee that the Committee on General Studies cease to be a Presidential Committee and become a Committee of the Academic Council. The Executive Committee has, pursuant to this action and in conformity with the recommendations approved at its meeting on November 5, 1963, established as an Academic Committee the *Committee on General Studies* as follows. It will consist of from eight to ten members, including the following members *ex officio*: the Director of General Studies, who will serve as chairman; the Dean of Undergraduate Education; the Dean of Humanities and Sciences (or his deputy); the Dean of Engineering (or his deputy). The Committee on General Studies shall continue to exercise its present functions except as modified below.

(iii) A *Committee on Undergraduate Education* is hereby established as a Committee of the Academic Council, consisting of from seven to nine members. It will include as members *ex officio*: the Dean of Undergraduate Education, who will serve as chairman; the chairman of the Committee on General Studies (namely, the Director of General Studies); and the chairman of the (Presidential) Committee on Student Affairs and Services. The Committee shall be advisory to the Dean of Undergraduate Education and shall have no administrative functions. Its general function will be (a) to coordinate the activities of the several committees presently concerned directly or indirectly with particular phases of undergraduate education and (b) to investigate and advise concerning those aspects of undergraduate education not currently covered by any permanent committee.

(iv) Existing committees or subcommittees shall not be affected in their jurisdiction or functions, but shall keep the Committee on Undergraduate Education currently informed as to their operations and policies in so far as these relate to matters mentioned in Section v (b) below.

(v) As between the Committee on General Studies and the Committee on Undergraduate Education, areas of primary concern shall be allocated as follows.

(a) The Committee on General Studies shall have primary concern with all matters directly involving general education for undergraduates.

These matters shall be considered to include: instruction and curriculum in the Freshman year; General Studies requirements and courses beyond the Freshman year; the Overseas Undergraduate campuses; and General Studies Advising.

(b) The Committee on Undergraduate Education shall have primary concern with instruction and curriculum involving departmental, interdepartmental, or special programs for undergraduate majors, including Honors Programs. It shall also have primary concern with the following matters as they pertain to undergraduates:

Admissions
Housing
Health
Religious life
Student activities and organizations
Discipline and good conduct
Athletics, including intramural athletics

Departmental Advising
Undergraduate Library and library facilities
Classroom and Laboratory facilities

(vi) The Committee on Undergraduate Education and the Committee on General Studies shall consult together (and may meet jointly from time to time) concerning matters which involve the undergraduate curriculum as a whole, especially planning for the improvement of undergraduate education in the University.

The President has informed the Executive Committee that the organization and actions described above have the approval of both the President and the Board of Trustees.

Membership

The Executive Committee has appointed four members to the Committee on Undergraduate Education. Terms of office commence on January 10, 1964 (the date of the Winter Quarter meeting of the Academic Council) and run to the date indicated. The Committee membership is, therefore, as follows:

Chairman: Dean of Undergraduate Education (Robert J. Wert) *ex officio*
Chairman of the Committee on General Studies (Robert A. Walker) *ex officio*
Chairman of the Committee on Student Affairs and Services (Eric Hutchinson) *ex officio*

Albert H. Hastorf	to August 31, 1966
Donald Kennedy	to August 31, 1966
Thomas C. Moser	to August 31, 1965
Ralph J. Smith	to August 31, 1965

The Committee on General Studies assumes its status as a Committee of the Academic Council on January 10, 1964. The Executive Committee has confirmed as members of this Committee all of the members of the Presidentially appointed Committee on General Studies and has asked them to serve for the duration of their original appointments, namely until August 31, 1964. The Committee on General Studies has, therefore, the following members:

Chairman: Director of General Studies (Robert A. Walker) *ex officio*
Dean of Engineering (Joseph M. Pettit) *ex officio*
Dean of Humanities and Sciences (Robert R. Sears) *ex officio*
Dean of Undergraduate Education (Robert J. Wert) *ex officio*

Gordon A. Craig
William L. Crosten
Sanford M. Dornbusch
Friedrich W. Strothmann

January 28, 1964

Appendix 7 Report of the Committee on Enrollment Policies

Premises

Two considerations should govern the policies of Stanford University in student enrollment as in other matters. The first is the wish of the Founders that the University should always be an institution of the highest grade. The other is the simple fact that Stanford is one of the very few private universities in the United States (and the only such university west of the Mississippi River) that are capable of offering graduate and professional education to carefully selected students on the highest level of quality, while at the same time maintaining a comparably distinguished undergraduate program. Stanford will therefore achieve its optimum service to the nation and indeed to humanity as it develops further its capacity to offer graduate and undergraduate education of the highest distinction to a carefully selected and necessarily restricted number of able students.

There is no major American university in which the graduate program is not based upon a strong undergraduate college. Otherwise, the experience of the various distinguished universities suggests that there is no optimum proportion as between graduate and undergraduate students and indeed no optimum size. In the universities listed by the recent ACE report as outstanding, the ratio of graduates to undergraduates varies from approximately two to one, as in Columbia or Harvard or Chicago, to about one to two at Yale or Michigan or U.C. Berkeley. Illinois and Princeton, at opposite extremes in size, probably have the lowest proportion of graduates to be found in a great university. Stanford corresponds to Massachusetts Institute of Technology and Cal Tech in having an approximately equal division between graduates and undergraduates.

Problems of Growth

Though the investigations of this Committee suggest that there is no optimum size for a great university, they also reveal very clearly indeed that Stanford is already straining its resources severely and that it cannot grow further in size in the near future without steadily diminishing its effectiveness as an educational institution and impairing the quality of life for those who work within its boundaries. At present levels of expenditure, the most careful use of the University's financial resources is required even to make ends meet. There is literally not an additional square foot of room for classrooms, laboratories, or offices; and it has been estimated that about $130,000,000 will have to be expended upon new construction and renovation before the various activities of the University can be conducted at a desirable level of efficiency and comfort.

Ancillary services needed to maintain reasonable standards are equally stretched to the limit. Only the new Cowell Health Center was planned for about 15,000 students and would be adequate for a considerably increased student body. We are depending upon adjacent communities to house a considerable proportion of our staff and student body. When these people come to the campus, they find parking inadequate and at some distance from the places where they work. Both the Bookstore and Tresidder Union are now making plans for major expansions to meet the needs of the present community. Auxiliary services such as purchasing, maintenance of the physical plant, communications, police, and fire protection would require additional space and staff to take care of an increased work load. In short, all available evidence indicates that Stanford has a long way to go in developing its facilities to the point that they are adequate for the demands imposed by the present size of staff and student body and that an increase in the load placed upon them should not be contemplated unless very substantial sums for improvement of these facilities are available.

Another, though less tangible consideration, is the traditional "feel" of the University. Stanford has always been and should remain, if possible, a cohesive, relatively small institution as contrasted with the great "multiversities." The genius of the distinguished private university, dependent as it is on support from a limited segment of the economy, is inconsistent with the "multiversity" concept, as is demonstrated by the relatively low enrollment figures at such comparatively wealthy institutions as Harvard, Yale, Princeton, Columbia, and Chicago. Furthermore, there is a critical point beyond which bureaucracy proliferates and the discontents of mass society multiply. No one can identify with precision the point at which this might happen at Stanford; but the Committee thinks that we would be well advised to leave a substantial margin for error.

Though the preceding considerations might suggest the need for an actual decrease in enrollments, such a measure would further aggravate the tremendous pressures that now operate for an actual increase in size. More serious yet, any arbitrary decrease in enrollment would jeopardize all kinds of delicate balances between faculty and student body, income and expenditures, and even University and adjacent communities, which have developed by a process of trial and error as the University has slowly grown to its present size. It would therefore be risky indeed to attempt to diminish the enrollment without very detailed and careful studies of all the implications. Such studies this Committee has had neither the time nor the staff to make. It therefore seems wisest to accept for now the present enrollment as something we must live with and to try to impose ceilings to prevent further uncontrolled growth, especially at the graduate level.

It is important, however, that the University's long-run academic planning examine fully all relevant options, including the possibility of a decrease in enrollment. In particular, the Committee hopes that the current Study of Education at Stanford will produce the factual basis for further and deeper scrutiny of the enrollment policies problem than we have been able to undertake.

Such ceilings as will be proposed should be viewed, therefore, as merely an expedient way of handling our present problems. There is no reason whatever to suppose that the present ratio between graduates and undergraduates is the best for the University and for the nation that it serves. Probably, in fact, as financial resources increase, a further slow increase in the graduate student body, balanced by a corresponding decline in undergraduate enrollment, would best fulfill Stanford's potentialities. But such an increase, granted present limitations of facilities and money, would seriously cripple the University. This is especially true because, although graduate students themselves vary enormously in cost as among different areas of the University, there can be no question that each graduate student costs considerably more to educate than an undergraduate student. For these reasons, the present ratio should not be seriously tampered with until the financial base of the University is substantially strengthened.

Recommendations

The Enrollment Policies Committee has therefore decided that its immediate task is to recommend policies to prevent further uncontrolled growth in the University. To that end, it makes the following proposals:

Undergraduate Enrollment. On the undergraduate level, present policies designed to stabilize enrollment seem to be working adequately.

> The Committee therefore recommends that they be continued in force and that any moves which might generate pressure for increasing the undergraduate student body be scrutinized very carefully indeed before they are undertaken. In any event, adjustments of this sort should be minor.

A serious practical problem is our inability to control the distribution of undergraduates among departments, which fluctuates substantially over periods of time. This Committee has not addressed itself to this problem.

Graduate Enrollment. Policies designed to stabilize the graduate student body are very much more difficult to develop, and they will probably be even more difficult to implement. The major difficulty is that the ratio between those admitted and those who achieve degrees is very much less satisfactory than on the undergraduate level, and any steps undertaken to control enrollment must not jeopardize the improvements in the graduate program, which are even more necessary than control of total enrollment. In the professional schools of Law, Medicine, and Business some further reduction of attrition may be possible. All three of these schools also need further to develop small advanced degree programs to keep their level of training in advanced research adequate to the needs of contemporary America. Ph.D. programs not only in Humanities and Sciences but also in Earth Sciences and in Education are in a far worse plight; those in Engineering are hard to assess because of differing methods of recruitment. Attrition in various programs seems to vary from somewhere not too far below 50 percent to as high as 80 percent. Though a relatively high rate of attrition is probably necessary to adequate protection of quality at the Ph.D. level, the present situation is clearly intolerable, and the level of efficiency in some of the graduate programs below the Ph.D. level also leaves something to be desired.

Here several *caveats* are necessary. Careful examination of attrition in the Ph.D. programs seems to demonstrate that almost all departments can achieve their full potential of Ph.D.'s if they admit no more, or even fewer, candidates and do a more effective job of training those that they have. But a few departments undoubtedly have unused capacity, and the potentiality of able professors may be wasted if overall pressures in the University lead to restricting enrollment without regard to departmental capacity for teaching. Due attention must therefore be given to optimum size of departments as well as of the University.

All available evidence indicates that, in general, the most effective Ph.D. programs have been those in which admissions are carefully controlled. But there are limits to the extent to which attrition can be controlled by this or other means. The more specific a curriculum is, the more attrition can be controlled, and the more general the curriculum, the heavier attrition will be. If we followed to a logical conclusion the practice of reducing new admissions in areas where attrition is heavy, we might make even broader the gap between capacity and use in such an area, thus creating serious imbalances in fields of study where the incidence of attrition is likely to remain above average.

This Committee is convinced, therefore, that the only practicable step is to control new graduate enrollments at their present or even slightly lower levels and to allow a small continuing increase in the total graduate student body as attrition is decreased a little farther in the professional schools and Ph.D. programs become more efficient. This efficiency in Ph.D. programs would take the form not only of a very considerable decrease in attrition but also of longer residence by Ph.D. candidates on the campus as an increasing proportion remain until they achieve their degrees. Both these highly desirable goals will result in a moderate increase of graduate enrollment during the next few years. The important thing, however, is that, once new enrollments are stabilized and controlled, the number of graduate students in residence will inevitably plateau over a period of years as the programs are improved. This plateauing should occur in a very short time in the professional schools. In the Ph.D. programs, where remedial measures will inevitably be difficult to devise and slow in taking effect, the process of stabilizing total enrollment will probably take considerably longer. But the growth in total graduate enrollment will be desirable from an educational point of view and will not be uncontrolled, and these seem the essential tests.

The following policies are therefore recommended to control graduate enrollment in the various schools:

Business. The situation with respect to the Graduate School of Business is complicated because the present building was constructed with the expectation that the M.B.A. enrollment would grow to about 650 by 1970 or 1972 and the number of Ph.D. candidates to 100. During the fall of 1967, 550 M.B.A. candidates will be in residence, and there will be approximately 80 to 85 Ph.D. candidates. These represent a considerable growth from the 425 M.B.A. candidates and the 45 Ph.D. candidates enrolled in 1959 when the present round of planning was commenced. Dean Arbuckle has informed the Committee that an enrollment of 650 M.B.A. candidates would produce the lowest unit cost for instruction and would enable the Graduate School of Business to have more impact on the community employing its graduates. On the other hand, there seems no inherent reason why the Graduate School of Business needs to be larger than it will be next fall. A further consideration is that the ICAME program now enrolls 58 students and has three years more to run.

> This Committee recommends that the Graduate School of Business be authorized to replace its ICAME students with regular M.B.A. candidates and that its total enrollment be stabilized at just about 600 M.B.A. candidates and the present level of Ph.D. candidates.

This policy would involve sacrificing optimum efficiency in the operation of the Graduate School of Business to the overall needs of the University community. In the opinion of this Committee such a policy is justified.

Law. Dean Manning has informed the Committee that the Law School has no plans for growth in its program for the Bachelor of Laws. On the other hand, there will be a small increase in the number of special students, either LL.M. candidates or, in very small numbers, candidates for the J.S.D. These two groups will probably not amount to more than 30 students in all, and this growth Stanford can surely live with.

Medicine. Dean Glaser has informed the Committee that the Medical School has no plans for growth beyond its present quota of 64 new students a year but that it hopes to decrease attrition among M.D. students once enrolled and to compensate by new admissions for what does occur. He estimates that the present level of 275 to 300 postdoctoral fellows will increase to 400 to 450, but this increase will be balanced by a decrease in paramedical areas. There will also be a very small increase in Ph.D. candidates in three basic science departments that need to be upgraded, but enrollments in the Medical School are substantially stable. The Committee therefore endorses the policies just outlined.

Earth Sciences. The problem in the School of Earth Sciences (the first school discussed that aims toward the Ph.D. as distinguished from specifically professional degrees) is to develop its graduate program and to recruit a body of graduate students commensurate to the program. The problem as yet is to develop rather than to control. But any development likely to occur will result only in a very minor increase in the total enrollment of graduate students.

> The Committee recommends that a small growth in enrollment in Earth Sciences be accepted for the good of the School and the University.

Education. The School of Education faces almost unlimited opportunities for development not only because of a vast in-pouring of federal funds into educational studies but also because of new leadership, which inevitably involves a close look at existing programs. Limitations are imposed, however, by the present building and the need even now for various existing programs to find housing throughout the adjacent community. Dean James is of the opinion that, granted a new building, the School should rise from the present enrollment of about 575 students to about 750; assuming restriction to the present quarters, enrollment should be cut down if the School is to operate efficiently. This consideration really reduces the question of growth of the School of Education to the same problem as that of the growth of the University as a whole–namely, enough money to increase the space available and to maintain that space once it is provided.

> The Committee therefore recommends that for the time being the School of Education be held to its present enrollment, which should expedite the ongoing efforts to increase the quality of its graduate students and its degree program. The flexibility needed for developing new programs can be obtained by readjusting enrollments and admissions within the School.

Engineering. The School of Engineering presents several distinct problems. First, it has important terminal programs for the M.S. and the Engineer's degree, which enroll a substantial number of students. Second, its enrollment of Ph.D.'s has increased more rapidly than in any other area of the University, and the end is apparently not in sight unless control measures are taken. Third, it is peculiarly involved in new technological developments, and professors with tenure cannot be dismissed or denied students as new technologies replace theirs as the most advanced available. Fourth, the

School of Engineering is also a major part of the undergraduate educational system, and its policies must take into account both its graduate and its undergraduate programs. Fifth, both because of a national trend and perhaps because of currents operating within the University itself, the undergraduate enrollment in Engineering has been falling (the present number of freshman engineers is about a minimum for economical class size in the junior and senior courses); this has compensated in large measure for the rising graduate enrollment. If total enrollments of the University are to remain constant, it will be necessary that any fluctuations between undergraduate and graduate enrollments, or among the several departments within the School of Engineering, counterbalance each other.

> Faced with these considerations, the Committee recommends that enrollments of new Ph.D. candidates be commensurate with the size of the faculty available for directing candidates. The number of candidates for the M.S. or Engineer's degree should remain constant.

Humanities and Sciences. The problem of graduate enrollments in Humanities and Sciences is undoubtedly the most complex, but it is not necessarily the most difficult of solution. Studies made by the Office of the Graduate Division in the autumn of 1965 indicate that new graduate enrollments in Humanities and Sciences have been at a level since 1963–64. The 618 students admitted and enrolled in the autumn of 1966 represent, in fact, a decline of 28 as compared with 646 in the autumn of 1965 (see Tables 1 and 2). The steady increase in total enrollment therefore results from better retention of students enrolled. This retention is reflected in a rise in the number of Ph.D.'s in Humanities and Sciences from 153 in 1964–65 to 188 in 1965–66.

During the autumn and winter quarters of this year, a series of negotiations have been carried on between the office of the Graduate Dean and the various departments in Humanities and Sciences looking toward controlling the number of new students allowed to enroll in the autumn of 1967 as presumed candidates for the Ph.D. These goals represent further cutting back of some enrollment quotas in an effort to make it possible to guarantee four-year support in the humanities and social sciences. The quotas in the last column of the following table have been fixed for 1967, although individual departments will undoubtedly exceed or fall below these quotas depending upon the complicated variables involved in estimating the proportion of students admitted who will actually enroll. These quotas are only temporary and reflect a variety of considerations, including both the capacity of the department to produce Ph.D.'s and resources available for supporting graduate students. Ph.D.'s granted during the past three years and enrollments last autumn have also been listed in the table to provide some perspective for the quotas. Under no condition should these quotas be thought of as rigidly fixed, lest departments operate below (or above) optimum capacity.

> On the other hand, the Committee on Enrollment Policies recommends that any increase of these quotas be permitted only after consultation among the department head, the Dean of Humanities and Sciences, and the Dean of the Graduate Division, such consultation to result in a clear authorization to the department by the two deans to increase its quota of Ph.D. candidates. The Committee also recommends that any such increase be reported to and concurred in by the Provost.

Quotas for New Enrollments in 1967
in Humanities and Sciences

Humanities & Sciences	*Annual Ph.D.'s Awarded*			*New Students Enrolled in Autumn 1966*	*Quota of Presumed Ph.D. Candidates for Autumn 1967*
	1964	*1965*	*1966*		
Anthropology	3	2	5	12	15
Applied Physics			1	20	15
Art & Architecture				37*	5
Asian Languages				5	6
Biological Sciences	7	12	14	23	20
Chemistry	17	14	16	28	30–35
Classics	2		3	14	12
Communication		3	4	52*	8
Computer Science				26	25
Economics	9	11	10	24	25
English	10	8	16	48	35
French & Italian	2	1	1	8	20
History	3	9	14	30	36
Linguistics			1	10	10
Mathematics	7	17	15	16	30–35
Modern European Languages:					
German	3	4	4	11	15
Russian & Slavic				9	6
Spanish & Portuguese	1	2	3	16	15
Music			2	27*	4
Philosophy	3	5	2	20	18
Physics	9	25	14	33	25–30
Political Science	8	3	4	22	25
Psychology	14	15	26	37	20
Sociology		1	7	12	12
Speech & Drama	4	9	9	17*	8
Statistics	16	7	15	46*	14

*Includes M.A. or M.S. or other program.

A number of departments in Humanities and Sciences have effective Master's programs, most notably Computer Science, Statistics, and the various area programs. These seem thoroughly justified in that they provide a kind of training which is valuable and which Stanford is uniquely competent to offer.

> It is recommended that admission of Master's candidates in these programs be maintained at the present level.

All departments in Humanities and Sciences give M.A. or M.S. degrees to students who for one reason or another are not able to complete work for the Ph.D. These offer no problem with respect to total enrollments in the University, and no attempt to control them seems necessary.

Postdoctoral Students. Postdoctoral students pose a major semantical and statistical problem but apparently are not a serious problem in terms of the total University population. A special census of postdoctoral fellows made for the Committee in 1966 showed a total of 465 (see Table 3). But 115 of these were apparently scholars of all categories working in the Hoover Institution rather than new Ph.D.'s continuing their education within a University department before accepting full-time professional appointments, which is perhaps as close as one can come to a brief working definition of a postdoctoral student. Others may have been research assistants or research associates, all these categories being less than precise. A more thorough study just completed at Stanford as part of the national Study of Postdoctoral Education sponsored by the National Research Council indicates a total of 243 postdoctoral students (Table 3). Either figure is less than half the number that had previously been assumed in various estimates. Postdoctoral students presently at Stanford do not constitute a serious problem.

> The Committee recommends, however, that careful censuses be taken from time to time and that, if numbers begin to increase notably, quotas be instituted by the Dean of the Graduate Division working in cooperation with the deans of the various schools.

Foreign Students. Finally, some attention should be paid to the ratio of foreign students, even though their mere presence does not ordinarily increase total enrollments since they fall within departmental quotas. If the number of foreign students is allowed to increase steadily while total enrollments are restricted, they may become, especially on the graduate level, so high a proportion of the total as to diminish the University's capacity effectively to assimilate them and give them an "American" education. At present, there are 858 foreign graduate students and 158 undergraduates, a total of 1,016 (see Table 4).

> The Committee recommends that foreign students should not exceed 10 percent of the entire enrollment or 20 percent of the Graduate Division. If these ratios are approached too closely, the Dean of the Graduate Division should work out quotas with the deans of the various schools. Attention should also be paid to the ratio in individual departments (see Table 5).

Conclusion

The Committee on Enrollment Policies hopes that the policies just recommended, if effectively implemented, will result in control of graduate and undergraduate enrollments and in an ultimate plateau of graduate enrollments within the next eight to ten years. The total enrollment of graduate students in Humanities and Sciences, including the Master's programs, is 1,685 students. More effective retention of Ph.D. candidates, both within the programs and at Stanford University until the degree is earned, would probably not increase this total enrollment above 2,000 students. Similar increases in the other schools mentioned will be minor. The net results should be a graduate student body slightly larger than the undergraduate but by no means out of proportion to it. If controls are enforced, the total student body should remain at a level with which we can live, granted facilities either in existence or under construction or in planning.

The Committee wishes to conclude this report by reiterating a cautionary note sounded earlier: its study has not been and could not be the definitive work on Stanford's enrollment problem. Continued study and thought at the administration and Board of Trustees levels are imperative.

Virgil K. Whitaker, *Chairman*
Robert R. Hind
Donald Kennedy
Herbert L. Packer
Joseph M. Pettit
David M. Potter

December 27, 1967

Table 1
Autumn Quarter 1966
Total Graduate Students

Department	*Applied*	*Admitted*	*Registered*
BIOPHYSICS	29	15	8
BUSINESS			
M.B.A.	1604	580	280
Ph.D. Program	232	39	33
SUB TOTAL	1836	619	313
EARTH SCIENCES			
Geology	115	81	25
Geophysics	13	9	5
Mineral Engineering	23	15	8
Petroleum Engineering	33	23	8
SUB TOTAL	184	128	46
EDUCATION	466	262	183
ENGINEERING			
Aeronautics & Astronautics	228	191	78
Chemical	103	61	12
Civil	300	219	108
Electrical	723	380	199
Engineering Mechanics	59	34	17
Engineering Science	15	10	8
Industrial	162	86	49
Inst. in Engineering Economics Systems	11	7	3
Materials Science	67	39	21
Mechanical	254	179	71
SUB TOTAL	2031	1145	566
FOOD RESEARCH	25	20	10
GRADUATE DIVISION SPECIAL PROGRAMS	6	6	3
HUMANITIES & SCIENCES			
Anthropology	79	24	12
Architecture	17	12	5
Art	92	29	19
Asian Languages			
Chinese	31	14	4
Japanese	18	10	1
Biological Sciences	178	52	23
Chemistry	222	77	28
Classics	44	40	14
Communication	180	87	52
Computer Science	210	44	26
Economics	326	89	24
English	467	153	48
French & Italian	71	32	8
History	421	124	30
Latin American Studies	55	23	7
Linguistics	30	15	10

Department	*Applied*	*Admitted*	*Registered*
Mathematics	238	75	16
Modern European Languages			
German	94	52	11
Russian & Slavics	29	23	9
Spanish & Portuguese	70	49	16
Music	66	41	27
Operations Research	48	33	21
Philosophy	123	40	20
Physical Science	0	0	0
Physics	328	77	33
Applied Physics	81	54	20
Political Science	297	73	22
Psychology	358	65	37
Sociology	80	24	12
Speech & Drama	103	35	17
Statistics	97	73	46
SUB TOTAL	4453	1539	618
LAW	1339	364	160
MEDICINE			
M.D. Program	867	126	66
Anatomy	6	3	3
Biochemistry	50	6	6
Genetics	14	6	4
Medical Microbiology	30	11	8
Neurological Sciences	7	4	2
Pharmacology	12	5	1
Physical Therapy	63	29	25
Physiology	17	5	1
Speech Pathology & Audiology	57	27	19
SUB TOTAL	256	96	69
GRAND TOTAL	11,492	4,380	2,042

Table 2
Autumn Quarter 1965
Total Graduate Students

Department	*Applied*	*Admitted*	*Registered*
BIOPHYSICS	20	11	4
BUSINESS			
M.B.A.	1515	524	221
Ph.D. Program	142	56	28
SUB TOTAL	1657	580	249
EARTH SCIENCES	158	110	46
EDUCATION	372	245	150
ENGINEERING			
Aeronautics & Astronautics	161	117	49
Chemical	96	69	18
Civil	293	211	101
Electrical	749	421	214
Engineering Mechanics	92	59	19
Engineering Science	12	10	5
Industrial	143	77	36
Materials Science	54	37	21
Mechanical	205	157	56
SUB TOTAL	1805	1158	519
FOOD RESEARCH	36	28	8
GRADUATE DIVISION SPECIAL PROGRAMS	12	12	10
HUMANITIES AND SCIENCES			
Anthropology	42	25	17
Art & Architecture	76	44	29
Asian Languages	54	40	25
Biological Sciences	138	40	15
Chemistry	199	104	50
Classics	47	41	11
Communication	100	49	27
Economics	324	119	31
English	454	127	34
French & Italian	90	44	16
Hispanic American	61	31	11
History	346	150	48
Linguistics	13	8	5
Mathematics	218	128	40
Computer Science	171	88	43
Modern European Languages	135	104	37
Music	54	35	16
Operations Research	37	29	17
Philosophy	82	44	21
Physical Sciences	0	0	0
Physics	291	58	26
Applied Physics	72	52	18
Political Science	265	51	20

Department	*Applied*	*Admitted*	*Registered*
Psychology	288	55	25
Sociology	76	30	10
Speech & Drama	91	26	17
Statistics	97	79	37
SUB TOTAL	3821	1601	646
LAW	1264	386	162
MEDICINE			
M.D.	763	122	60
Anatomy	6	3	2
Biochemistry	68	5	4
Genetics	6	2	1
Medical Microbiology	20	6	5
Neurological Sciences	4	3	2
Obstetrics & Gynecology	0	0	0
Pharmacology	13	5	5
Physical Therapy	73	43	31
Physiology	15	3	2
Preventive Medicine	0	0	0
Radiology	0	0	0
Speech Pathology & Audiology	84	44	22
SUB TOTAL	289	114	74
GRAND TOTAL	10,197	4,367	1,928

Table 3
Postdoctoral Students

School, Dept., or Division	*1966*	*1967*
Engineering		
Aero & Astro	5	0
Chemical	7	2
Civil	3	2
Electrical	12	7
Industrial	–	–
Materials Science	9	9
Mechanical	–	1
	36	21
Medicine		
Anatomy	–	–
Anesthesia	2	3
Biochemistry	18	20
Dermatology	5	3
Genetics	3	4
Medical Micro.	4	5
Medicine	4	17
Ob. & Gyn.	–	–
Pathology	13	4
Pediatrics	16	14
Pharmacology	7	10
Physical Therapy	–	–
Physiology	2	–
Prev. Medicine	–	–
Psychiatry	29	13
Radiology	13	9
Rehabilitation	6	5
Speech Pathology	1	3
	123	110
Humanities & Sciences		
Anthropology	1	–
Art & Arch.	–	–
Asian Languages	1	–
Biological Sciences	16	14
Biophysics Lab.	4	1
Chemistry	53	35
Classics	–	–
Communications	2	1
Computer Science	2	2
Economics	9	–
English	–	–
French & Italian	–	–
Hansen Labs	10	7
Humanities & Sciences (Cont.)		
Hopkins Marine	–	–
Humanities Spec. Program	–	–
Hum. Grad. Program	–	–
IMSSS	13	4
Latin American Studies	–	–
Linguistics	–	–
Mathematics	9	2
Military Science	–	–
Modern European Lang.	–	–
Music	–	–
Naval Science	–	–
Psychology	18	3
Philosophy	1	–
Physical Science	–	–
Physics	20	25
Applied Physics	–	–
Political Science	3	–
Sociology	3	1
Speech & Drama	–	–
Statistics	7	7
	172	102
Education	9	6
Earth Sciences		
Geology	2	1
Geophysics	–	1
Mineral Engineering	–	–
Petroleum Engineering	–	–
	2	2
Business	3	2
Law	–	–
Other		
Food Research	5	–
Hoover Institution	(115)*	–
Main Library	–	–
Operations Research	–	–
	120	–
GRAND TOTAL	465	243

*Apparently visiting scholars rather than true postdoctoral appointments.

Table 4
International Student Statistics – Autumn Quarter, 1966

Registration during autumn quarter	1016	
	Number	*Percent*
Graduate students		
Men	792	77.95
Women	66	6.49
Undergraduate students		
Men	145	14.27
Women	13	1.27
Total	1016	99.98
Married students		
Men	408	40.15
Women	27	2.65
Single students		
Men	529	52.06
Women	52	5.11
New Registrants		
Men	357	35.13
Women	29	2.75
Attendance permits	11	1.08
Enrollment by schools		
Engineering	405	39.96
Humanities	301	29.62
General Studies	86	8.56
Business	72	7.09
Earth Sciences	46	4.82
Education	45	4.42
Food Research	19	1.88
Medicine	19	1.88
Law	4	.39
Graduate Special	3	.29
Nursing	1	.09
Biophysics	3	.29
Operations Research	12	1.18

Table 5
Enrollment of Foreign Students by Department

Department	*Undergrad. Majors*	*Foreign Undergrad. Majors*	*% of Undergrad. Foreign*	*Grad. Majors*	*Foreign Grad. Majors*	*% of Grads. Foreign*	*Total Foreign*
General Studies	2201	25	1.1	–	61	100.0	86
Biophysics	–	–	–	23	3	13.0	3
Food Research	–	–	–	20	19	95.0	19
Grad. Spec. Programs	–	–	–	15	3	20.0	3
Operations Research	–	–	–	44	12	27.2	12
School of Business	–	–	–	552	72	13.0	72
Geology	18	1	5.6	58	17	29.4	18
Geophysics	5	–	–	16	5	31.2	5
Hydrology	–	–	–	3	2	66.7	2
Mineral Engr.	2	–	–	20	17	85.0	17
Petroleum Engr.	8	–	–	10	7	70.0	7
Education	–	–	–	571	45	7.9	45
Aero. & Astro. Engr.	–	–	–	205	26	12.7	26
Chemical Engr.	17	2	11.7	44	15	34.1	17
Civil Engr.	55	13	23.7	200	78	39.0	91
Electrical Engr.	102	7	6.9	588	124	21.1	131
Engr. Econ. Systems	–	–	–	13	7	53.9	7
Engr. Mechanics	–	–	–	58	15	25.9	15
Engr. Science	7	–	–	13	2	15.3	2
General Engr.	270	9	3.3	–	–	–	9
Industrial Engr.	44	2	4.5	108	35	32.4	37
Materials Science	10	–	–	89	21	23.6	21
Mechanical Engr.	83	8	9.6	167	41	24.5	49
Anthropology	53	–	–	40	3	7.5	3
Arch. & Pre-Arch.	28	2	7.1	18	1	5.6	3
Art	65	–	–	37	1	2.7	1
Chinese	5	–	–	13	2	15.4	2
Japanese	6	–	–	8	–	–	–
Biological Sciences	260	4	1.5	57	3	5.3	7
Chemistry	67	4	6.0	114	7	6.1	11
Classics	17	–	–	28	2	7.2	2
Communication	59	–	–	86	14	16.3	14
Computer Science	–	–	–	99	15	15.1	15
Economics	301	16	5.3	64	22	34.4	38
English	347	10	2.9	119	10	8.4	20
French	54	2	3.7	29	3	10.3	5
Latin American Studies	1	1	100.0	12	–	–	1
History	602	6	1.0	119	12	10.1	18
Humanities	15	1	6.7	–	–	–	1
Linguistics	–	–	–	27	8	29.6	8
Mathematics	152	2	1.3	87	14	16.1	16
German	28	–	–	50	8	16.0	8
Russian	6	1	16.7	22	–	–	1

Department	*Undergrad. Majors*	*Foreign Undergrad. Majors*	*% of Undergrad. Foreign*	*Grad. Majors*	*Foreign Grad. Majors*	*% of Grads. Foreign*	*Total Foreign*
Spanish	24	1	4.2	32	1	3.1	2
Music	35	–	–	56	2	3.6	2
Philosophy	51	1	2.0	44	9	20.5	10
Physical Sciences	3	–	–	3	–	–	–
Physics	113	4	3.5	116	16	13.8	20
Applied Physics	–	–	–	59	11	18.7	11
Political Science	342	5	1.5	72	10	13.9	15
Psychology	272	1	0.4	94	10	10.6	11
Sociology	40	2	5.0	28	5	17.9	7
Speech & Drama	22	–	–	39	6	15.4	6
Statistics	14	–	–	113	33	29.2	33
Law	1	–	–	456	4	0.9	4
Anatomy	–	–	–	7	1	14.3	1
Biochemistry	–	–	–	13	1	7.7	1
Genetics	–	–	–	9	2	22.2	2
Medical Micro.	5	–	–	17	3	17.6	3
Pharmacology	–	–	–	8	2	25.0	2
Physiology	1	–	–	8	1	12.5	1
M.D. Programs	21	–	–	284	6	2.1	6
Nursing	76	1	1.3	–	–	–	1
Physical Therapy	7	1	14.3	27	2	7.4	3
Unknown	–	–	–	–	–	–	4

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